STATE OF NEW JERSEY

**REQUEST FOR PROPOSAL (RFP)
FOR
THE IMPLEMENTATION OF THE
STATEWIDE AUTOMATED CHILD WELFARE INFORMATION SYSTEM
(SACWIS)**

**DEPARTMENT OF HUMAN SERVICES
DIVISION OF YOUTH AND FAMILY SERVICES**

AUGUST 2003

AN IMPLEMENTATION VENDOR FOR THE
STATEWIDE AUTOMATED CHILD WELFARE INFORMATION SYSTEM
(SACWIS)

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1.0   INFORMATION FOR BIDDERS

1.1   PURPOSE AND INTENT

This Request for Proposal (RFP) is issued by the Purchase Bureau, Division of Purchase and Property, Department of the Treasury, on behalf of the State of New Jersey. The purpose of this RFP is to solicit proposals from qualified bidders to transfer, modify, and implement a Statewide Automated Child Welfare Information System (SACWIS) to meet the requirements of the Division of Youth and Family Services (DYFS). The Implementation Vendor must recommend specific web tools and technical architectures, which would best support the requirements of a New Jersey SACWIS and satisfy the requirements in Appendix 1, as part of or in addition to a state transfer. A solution that identifies a commercial off the shelf or custom service architecture/framework, including a set of core business functions and the tools to build on the core functions, will be considered. The term of the contract resulting from this RFP is 48 months.

The intent of this RFP is to award a contract to that responsible bidder whose bid, conforming to this invitation for bids, is most advantageous to the State, price and other factors considered.

Information contained in this RFP differs from information posted during the New Jersey SACWIS Request for Information (RFI) process. Potential bidders are encouraged to thoroughly review this RFP.

1.2   BACKGROUND

The DYFS of the Department of Human Services (DHS) is developing a SACWIS. This project is a partnership between DYFS and the Federal Administration for Children and Families (ACF).

DYFS will contract with an Implementation Vendor to transfer, modify and implement an existing SACWIS system from another state. The Implementation Vendor must recommend specific web tools and technical architectures, which would best support the requirements of a New Jersey SACWIS. The vendor's solution must satisfy the requirements in Appendix 1. The New Jersey SACWIS must be implemented as a web-based computer application capable of meeting all Federal and State requirements. More detailed background information about DYFS and SACWIS may be found in Appendix 2.

The requirements included in this RFP are those that are known at this time and are detailed in Appendix 1. In addition to addressing these requirements, the bidder must also demonstrate that its bid solutions are capable of expansion to include other data storage needs, further user access, and additional functionality. The issues of scalability and response time, as well as the ability to readily modify the system to fully address developing program needs that cannot now be defined, will be an important consideration in the evaluation of the bidder's proposal. These future modifications may include the development of new data fields and modification or creation of new screens.

The goal of the SACWIS effort is to provide an integrated child protective services and child welfare services case management system to enhance the capacity of DYFS to manage programs funded through State monies and through Federal funding received under Title IV-E and Title

IV-B of the Social Security Act.

The system must encompass all of the required processes and requirements, (see Section 3 and Appendix 1) in addition to the activities associated with the major functions identified by the ACF at (http://www.acf.dhhs.gov/programs/oss/sacwis/!sacwis.htm), including:

- ACF Action Transmittal No. ACF-OISM-001, issued February 24, 1995, for SACWIS

- ACF Action Transmittal No ACF-OISM-005 issued August 21, 1998, for SACWIS

- SACWIS Assessment Review Guide issued February 24, 1998

The system must also assure the confidential handling and protection of all client data, including medical data covered under the Health Insurance Portability and Accountability Act (HIPAA).

The functional objectives of SACWIS include the following:

- Provide maximum support to casework staff

- Support improved client services

- Provide for the tracking and control of cases, including required reviews and assessments

- Ensure that all cases are properly accounted for and served as promptly and as effectively as possible

- Enhance permanency planning by providing improved information for decision-making and case review

- Provide outcome-related information for evaluation purposes

- Provide for management and control of provider claims

- Be responsive, flexible, expandable and easy to maintain

- Improve turnaround time for documentation of casework activities related to the Adoption and Safe Families Act (ASFA), and services arranged and purchased to support permanency

- Reduce data and paperwork redundancies

- Reduce manual and administrative work requirements and promote staff productivity

- Support both inter- and intra-agency data exchanges such as IV-A, IV-D, and the Superior Court of New Jersey (Law - Family Division)

- Help in the process of decision-making in key areas through the use of various assessments

- Enhance the capacity of DYFS to allocate and monitor the expenditure of funds for third party contracted social services from private providers to support its child protection/child welfare efforts

The new SACWIS system must be designed to support the case practice reforms being undertaken by DYFS to assure that children reside in safe, permanent settings. Refer to Appendix 2 for a discussion of these issues.

The State has contracted the services of a Verification, Validation and Testing (VV&T) Contractor. The VV&T Contractor will act on the State's behalf throughout the SACWIS implementation project, reviewing and monitoring Implementation Vendor activities, processes, and deliverables. The SACWIS Implementation Vendor will accord the VV&T Contractor the same access and cooperation accorded to State staff.

1.3   KEY EVENTS

1.3.1   Questions and Inquiries

It is the policy of the Division of Purchase and Property to accept questions and inquiries from all potential bidders receiving this RFP.

Written questions should be mailed or faxed to the Division of Purchase and Property, Purchase Bureau, and should be mailed or faxed to the attention of the assigned Purchase Bureau buyer at the following address:

State of New Jersey
Department of the Treasury
Division of Purchase and Property
Attention: Mary Lou Goho
P.O. Box 230
Trenton, NJ 08625-0230

Phone: (609) 292-4927
FAX Number: (609) 292-5170

1.3.1.1   Cut-off Date for Questions and Inquiries

A Mandatory Pre-Bid Conference has been scheduled for this procurement; therefore, the cut-off date for submission of questions will be the date of the Mandatory Pre-Bid Conference. While all questions will be entertained at the Mandatory Pre-Bid Conference, it is strongly urged that questions be submitted in writing prior to the Mandatory Pre-Bid Conference. Written questions must be faxed or e-mailed to the Purchase Bureau buyer. It is requested that bidders having long, complex or multiple part questions submit them in writing as far in advance of the Mandatory Pre-Bid Conference as possible. This request is made so that answers can be

prepared by the State by the time of the Mandatory Pre-Bid Conference.

Questions must be submitted in writing to the attention of the assigned Purchase Bureau buyer. Written questions should be directly tied to the specific RFP reference by the writer. Questions should be asked in consecutive order, from beginning to end, following the organization of the RFP. Each question should begin by referencing the RFP page number and section number to which it relates.

Short procedural inquiries may be accepted by telephone by the Purchase Bureau buyer, however, oral explanations or instructions given over the telephone shall not be binding upon the State. Bidders shall not contact the Using Agency directly, in person, or by telephone, concerning this RFP.

1.3.2   Mandatory Site Visit

Not applicable to this procurement.

1.3.3   Mandatory Pre-Bid Conference

A Mandatory Pre-Bid Conference has been scheduled for this procurement. The date, time and location are listed on the bidders conference/site inspection page at the beginning of this document:

CAUTION: Bids will be automatically rejected from any bidder that was not represented or failed to properly register at the Mandatory Pre-Bid Conference.

The purpose of the Mandatory Pre-Bid Conference is to provide a structured and formal opportunity for the State to accept questions from bidders regarding this RFP.

Any revisions to the RFP resulting from the Mandatory Pre-Bid Conference will be formalized and distributed to attendees as written addendum to the RFP. Answers to deferred questions will also be distributed to attendees as written addendum to this RFP.

1.3.4   Document Review Room

Not applicable to this procurement.

1.4   ADDITIONAL INFORMATION

1.4.1   Revisions to this RFP

In the event that it becomes necessary to clarify or revise this RFP, such clarification or revision will be made by addendum.

Any addendum issued before the Mandatory Pre-Bid Conference will be distributed to all bidders who were sent the initial RFP. Any addendum issued at the time of, or after, the

Mandatory Pre-Bid Conference will be distributed only to those bidders represented and properly registered at the Mandatory Pre-Bid Conference.

1.4.2   Addendum as a Part of this RFP

Any addendum to this RFP shall become part of this RFP and part of any contract resulting from this RFP.

1.4.3   Issuing Office

This RFP is issued by the Purchase Bureau, Division of Purchase and Property. The buyer noted in Section 1.3.1 is the sole point of contact between the bidder and the State for purposes of this RFP.

1.4.4   Bidder Responsibility

The bidder assumes sole responsibility for the complete effort required in this RFP. No special consideration shall be given after bids are opened because of a bidder's failure to be knowledgeable of all of the requirements of this RFP. By submitting a proposal in response to this RFP, the bidder represents that it has satisfied itself, from its own investigation, of all the requirements of this RFP.

1.4.5   Cost Liability

The State assumes no responsibility and bears no liability for costs incurred by bidders in the preparation and submission of proposals in response to this RFP.

1.4.6   Contents of Bid Proposal

The entire content of every bid proposal will be publicly opened and becomes a public record. This is the case notwithstanding any statement to the contrary made by a bidder in its bid proposal.

All bid proposals, as public records, are available for public inspection. Interested parties can make an appointment to inspect bid proposals received in response to this RFP with the Purchase Bureau buyer.

1.4.7   Price Alteration

Bid prices must be typed or written in ink. Any price change (including "white-outs") must be initialed. Failure to initial price changes may preclude an award being made to the bidder.

1.4.8   Joint Venture

If a joint venture is submitting a bid, the agreement between the parties relating to such joint venture shall be submitted with the joint venture's proposal. Authorized signatories from each party comprising the joint venture must sign the bid proposal. A separate Ownership Disclosure Form, Affirmative Action Employee Information Report, MacBride Principles Certification and,

business registration must be supplied for each party to a joint venture.

2.0　DEFINITIONS

The following definitions shall be part of any contract awarded or order placed as a result of this RFP:

Addendum – Written clarification or revision to this RFP issued by the Purchase Bureau.

Adoption and Foster Care Analysis and Reporting System (AFCARS) – federally mandated national data system. SACWIS will be required to generate federally compliant data extracts for submission to this system.

All Inclusive Hourly Rate - An all-inclusive hourly rate which must include all direct and indirect costs including, but not limited to: overhead, fee or profit, clerical support, travel expenses, safety equipment, materials, supplies, managerial support and all documents, forms, and reproductions thereof. Hourly rates also include portal to portal expenses. Time spent in traveling to and from the work site or employee's normal work station shall not be included in this rate.

All-Inclusive, Loaded, Firm, Fixed Price - An all-inclusive, loaded, firm fixed price is a price which includes all direct and indirect costs including, but not limited to: overhead, fee or profit, clerical support, travel expenses, safety equipment, materials, supplies, labor, supervision, managerial support and all documents, forms, and reproductions thereof. All-inclusive, loaded, firm, fixed price may also include portal to portal expenses. Time spent in traveling to and from the work site or the employee's normal work station shall not be included in any pricing. Contractor's personnel shall not be paid for time spent commuting or traveling to the work site, or for meals, lunch, dinner or other breaks.

Amendment – A change in the scope of work to be performed by the contractor. An amendment is not effective until it is signed by the Director, Division of Purchase and Property.

Bidder - An individual or business entity submitting a bid proposal in response to this RFP.

Contract - This RFP, any addendum to this RFP, and the bidder's proposal submitted in response to this RFP as accepted by the State.

Contractor/Implementation Vendor - The bidder awarded the contract.

Director - Director, Division of Purchase and Property, Department of Treasury. By statutory authority, the Director is the chief contracting officer for the State of New Jersey.

Division - The Division of Purchase and Property.

Evaluation Committee - A committee established by the Director to review and evaluate bid proposals submitted in response to this RFP and to recommend a contract award to the Director.

May - Denotes that which is permissible, not mandatory.

National Child Abuse and Neglect Data System (NCANDS) - Federally operated national data system. SACWIS will be required to generate federally compliant data extracts for submission to this system.

Project - The undertaking or services that are the subject of this RFP.

Request for Proposal (RFP) – This document which establishes the bidding and contract requirements and solicits proposals to meet the purchase needs of the Using Agencies as identified herein.

Shall or Must – Denotes that which is a mandatory requirement. Failure to meet a mandatory requirement will result in the rejection of a bid proposal as materially non-responsive.

Should - Denotes that which is recommended, not mandatory.

State Contract Manager – Administrator of the DYFS Office of Information Systems (OIS).

State Lead Technical Manager – The State Project Manager reporting to the State Contract Manager.

Subtasks – Detailed activities that comprise the actual performance of a task.

State - State of New Jersey.

Task – A discrete unit of work to be performed.

Titles/Functions - See Appendix 3: Contractor Experience and Expertise, for a list of titles and description of functions applicable to this project.

Using Agency - The entity for which the Division of Purchase and Property has issued this RFP and will enter into a contract.

3.0 SCOPE OF WORK

3.1 GENERAL

DYFS will contract with an Implementation Vendor to transfer, modify and implement an existing SACWIS system from another state. The Implementation Vendor must recommend specific web tools and technical architectures, which would best support the requirements of a New Jersey SACWIS. Such an approach must satisfy the requirements in Appendix 1. A solution that identifies a commercial off the shelf or custom service architecture/framework, including a set of core business functionality and the tools to build on the core functions, will seriously be considered. The New Jersey SACWIS system will be implemented as a web-based computer application capable of meeting all Federal and State requirements.

A detailed description of the tasks and the expected deliverables is provided in this Section 3.

3.1.1 Implementation Activities

The SACWIS system will be implemented through the deployment of six modules. The timeframes for the deployment of these modules and other activities is presented in Figure 1.

3.1.2 Overview of Tasks and Responsibilities

The Implementation Vendor will develop detailed customization requirements, implement the required changes, test the system, develop interfaces, convert data from the legacy systems, develop and deliver training, produce documentation, develop production reports, make the system operational, provide post-rollout support, and provide a smooth transition at the completion of the contract term.

The Implementation Vendor will work in collaboration with the State's project management team and VV&T Contractor to ensure project success. An overview of the responsibilities and deliverables of the Implementation Vendor, VV&T Contractor, State Lead Technical Manager and the State is provided in Appendix 4 – Project Management Structure.

Figure 1 – Phased Implementation Schedule

Project Month/ Task Description	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48
Project Initiation	Go																																															
Analysis and Design		General Design																																														
Module 1 - Quality Assurance				Database Design, Development and Unit Test				System/ Accept Test		Pilot test			Rollout																																			
Module 2 - Safety, Risk and Screening						Database Design, Development and Unit Test				System/ Accept Test		Pilot test		Rollout																																	
Module 3 - Payments and Business								Database Design, Development and Unit Test				System/ Accept Test		Pilot test		Rollout																														
Module 4 - DHS Interfaces										Database Design, Development and Unit Test				System/ Accept Test		Pilot test		Rollout																													
Module 5 - External Interfaces and Obligations												Database Design, Development and Unit Test				System/ Accept Test		Pilot test		Rollout																									
Module 6 - Post Implementation Support																													Fixes, Enhancements and Maintenance																	

Consistent with the modular deployment strategy for the SACWIS system, the project implementation has been divided into 18 major tasks. Several of these tasks will recur during the development of the individual modules (e.g., unit, system and acceptance testing). The completion of these tasks shall be the responsibility of the Implementation Vendor, working with the State and the VV&T Contractor. The tasks and their proposed timeframes are indicated below in Figure 2 below.

Figure 2 – Tasks and Anticipated Delivery Dates

Sec. #	Task Description	Implementation Vendor	Module
3.31.1	Recurring Tasks and Activities	Duration of project	All modules
3.31.2	Project Plan Development and Reporting of Project Status	Duration of project	All modules
3.31.3	Project Management	Duration of project	All modules
3.31.4	Quality Assurance	Duration of project	All modules
3.31.5	Change Management	Duration of project	All modules
3.31.6	Project Initiation	Month 1	
3.31.7	Analysis and Design	Months 2-12	
3.31.8	Database Design, Development and Unit Test	Months 3-24	Modules 1 - 5
3.31.9	Legacy Data Conversion	Months 5-24	Modules 1 - 6
3.31.10.1	Interfaces to Critical DHS and External Systems	Months 18-26	Module 4
3.31.10.2	Interfaces to Other Systems	Months 21-29	Module 5
3.31.11	Report/ Reporting Extract Development	Months 6-24	Modules 1 – 5
3.31.12	Documentation	Months 6-48	Modules 1 – 6
3.31.13	Training	Months 5-30	Modules 1 – 6
3.31.14	System Test	Months 5-24	Modules 1 – 5
3.31.15	Acceptance Test	Months 5-30	Modules 1 – 5
3.31.16	Pilot Test	Months 5-30	Modules 1 – 5
3.31.17	Statewide Implementation	Months 14-34	Modules 1 – 6

Sec. #	Task Description	Implementation Vendor	Module
3.31.18	Post-Implementation Support	Months 30-48	Module 6

3.1.3 ACF-Related Activities

The VV&T Contractor shall assist the State in meeting requirements established by ACF for SACWIS projects. This assistance shall involve the preparation of the Federally-required SACWIS Assessment Review Guide (SARG) and the development and implementation of a cost-benefit analysis acceptable to ACF. The Implementation Vendor shall provide the information and support required by the VV&T Contractor to complete this task.

3.2 FUNCTIONAL AND TECHNICAL REQUIREMENTS

This section presents the general, functional and technical requirements for the New Jersey SACWIS. The deliverables required from the Implementation Vendor are also detailed in this section.

3.2.1 Overview

No solutions proposing the use of off –shore resources will be considered. The State of New Jersey seeks to implement a SACWIS that will provide significantly improved automated support for the administration of the services provided by DYFS. This RFP describes in detail the requirements (or required enhancements) to a SACWIS system transferred from another state and modified to meet DYFS' needs that have been identified to date.

DYFS will contract with an Implementation Vendor to implement a SACWIS. The New Jersey SACWIS shall be implemented as a web-based computer application capable of meeting all Federal and State requirements. More detailed information about DYFS and SACWIS may be found in Appendix 2.

3.2.2 General Objectives and Requirements

New Jersey's SACWIS, when fully operational, will allow DYFS to accomplish a number of critical objectives. In general, these objectives include increasing the efficiency of caseworkers and supervisory staff; allowing for more effective service delivery; enhancing decision-making; and automating functions which are currently performed manually or redundantly (due to systems which are not integrated), thereby increasing productivity. Some of these specific objectives include:

- Reducing the caseworkers' paperwork burden so that more time can be spent serving New Jersey's children and families

- Providing an integrated system so that information is entered only once into the computer, thereby reducing redundant documentation activities

- Allowing DYFS management to respond quickly to State and Federal legislative inquiries

- Improving data analysis capabilities to assist DYFS' planning process

- Improving staff performance by providing DYFS workers with reliable and up to date information to make decisions

- Providing information and tools to assist in decision-making (e.g., safety and risk assessments and other tools to facilitate structured decision-making)

- Providing access to all online case materials on a 24-hour a day basis

- Meeting all State and Federal reporting requirements

- Providing access to online policy manuals on a 24 hour a day basis

- Tracking the recruitment of foster homes and the certification of out-of-home placement resources

- Tracking all third party social service contracts regardless of whether the service is provided directly to a DYFS client or a client who is not registered in the DYFS supervision system

- Tracking all services provided to DYFS children regardless of contractual terms or payment methods. Services will always be tied to the children receiving the services.

- Providing the means for recording, tracking and reporting on revenues and expenditures by client via a consolidated ledger

- Processing all payments online, including the ability to report on payments by provider, contract number, contract period, service type, child, service period and payment period

- Eliminating manual processing associated with the District Office Bank Account system

- Fully automating the payment data to minimize overpayments, erroneous payments, duplicate payments, etc.

- Enhancing the capacity for meeting reporting requirements concerning eligibility for federally-funded programs

The following characteristics have been outlined by DYFS as overall general system requirements for New Jersey's SACWIS:

- Fully automated child welfare information system

- Screen flow will be intuitive and will match the workflow defined by the required use cases. Each type of user will have a view of the system which is consistent with their job function.

- Elimination of the need for complex codes for data entry

- Entry of case narrative as word processing text stored in the database in an easily retrievable format

- Automatic and worker generated tickler and alert system for notifying staff of the required actions for mandated tasks

- Assistance in identifying and selecting client resources based on family and child needs

- Ad hoc reporting capabilities

- Ability to enter information into the system while taking the information over the telephone

- Integrated contract management, placement resource certification and payment systems

- Automated interfaces where required

- Improved system access, including 24x7 availability, remote access, and integration with mobile computing devices [e.g., Personal Digital Assistants, (PDA), Tablet PCs, Mobile Phones]

Descriptions of these functions are included in Appendix 1. However, the implementation vendor, through comprehensive joint application development (JAD) sessions, must verify and validate these functions.

3.2.3   *Conceptual Design*

The New Jersey SACWIS is expected to be a transfer of another state system, or the transfer of the design of another state system. To take advantage of the most current technology, DYFS is <u>requiring</u> that the new SACWIS be web-based. In order to provide New Jersey with a broad range of options, the design of the proposed system to be transferred has not been narrowly defined.

DYFS is a <u>statewide</u> child protective agency, not a county-based agency. Bidders proposing a SACWIS that is currently county-based must demonstrate this functionality will satisfy with the operation and require-ments of the SACWIS proposed for New Jersey.

3.2.4   *Major Design Criteria*

The proposed system must:

- Be person-based, not family-based, so that each individual is correctly and uniquely tracked throughout their lifetime

- Minimize or eliminate redundant data entry, thereby allowing users to "write it well once"

- Navigate mirroring DYFS' business processes

- Be usable by DYFS staff who are not technically sophisticated and not highly computer literate

- Must be web-based

- Have 24-hour/7 day per week availability

- Support structured decision-making

- Continue the interfaces already in place, adding new interfaces as described in Appendix 5 – Interface Details

- Support improved quality in casework and better outcomes for DYFS clients

- Enable workers to have access to up-to-date information while they are out of the office

- Improve DYFS' ability to maximize Federal claiming, and improve accounts payable and accounts receivable functions

- Provide limited access to sensitive data according to worker, client or case

- Prevent unauthorized access

- Conform to HIPAA Rules

3.2.5   *Functional Requirements Analysis*

The new system will be designed to meet all Federal SACWIS requirements and any additional SACWIS functionality that is unique to DYFS. Functional requirements are included in Appendix 1 and are organized under the following headings or modules:

- Intake Management

- Eligibility Determination

- Case Management

- Resource Management

- Financial Management

- Court Processing

- Administration

- Interfaces

- Other

These requirements must be validated and verified by the Implementation Vendor.

The high-level data entities required for New Jersey's SACWIS include:

- Person

- Case

- Family

- Caseworker

- Supervisor

- Referral

- Intake

- Investigation

- Case plan

- Contact

- Service

- Special need/problem

- Placement

- Automated assessments

- Demographics

- Eligibility

- Payment

- Well-being

3.2.6   Technical Architecture

The DYFS Central and Regional Offices, District Offices, Adoption Resource Centers, Institutional Abuse Investigation Units, Residential Treatment Centers, Office of Child Abuse Reporting, Bureau of Licensing, and other administrative units will utilize the SACWIS. Users at each functional level (caseworkers, supervisors, District Office managers, clerical staff, contract administrators, foster home finders, litigation specialists, Central Office and regional administrative staff) will have their own screens and views of data based on their role.

Data security will ensure that users can update or view only the data that they are allowed to access. For example, case narrative concerning client contacts can only be updated by the originating District Office staff or by the DYFS OIS staff; typical regional and central office users can only view the information. Security privileges will be tied to roles, and administered by DYFS administrative staff.

The State requires the following for its new system:

- An enterprise (custom, commercial) or centralized server solution, with an n-tier architecture (database server, application server, web server and client)

- A web-based solution taking advantage of UNIX and Java 2 Platform Enterprise Edition (J2EE).

- Implementation of the proposed system on server(s) to be supplied by the State, but conforming to Implementation Vendor size and configuration recommendations

- Windows 2000/XP on the workstation

The State Office of Information Technology (OIT), Department of Human Services and DYFS will manage access to the system (Internet, Intranet, Extranet) by Windows PCs, and will manage network access security.

The bidder must also identify its proposed team member(s) having experience with all or part of the product set and architecture being recommended. In addition, the bidder must specify the projects where this individual had that experience and the versions of the product set with which they are familiar.

The State of New Jersey is interested in implementing a system that best meets the business needs of the State and DYFS. The bidders should not consider itself limited to proposing platforms noted in the State of New Jersey Shared IT Architecture document if there are alternative solutions that will provide for a higher quality and more cost effective system. The bidder is responsible for including supporting documentation relative to the effectiveness and cost benefit of the products and architecture proposed. However solutions including off-shore resources will not be considered.

3.2.7 Integration of Portable Computing with SACWIS

Approximately 1,400 DYFS caseworkers will have a need to utilize the SACWIS system. These caseworkers now spend a considerable amount of time in the field visiting clients, making collateral contacts, and attending court hearings and medical appointments. A great deal of data is gathered while making these visits which caseworkers typically have to record using pen and paper. This information then has to be recorded again once the worker returns to their office by using word processing software or database programs.

The State of New Jersey prefers an innovative solution that will allow for remote input, remote access and point of contact use. An example of such a solution would be to use hand-held devices such as a PDA, tablet PC, etc. The solution minimally should include the following functionalities.

- Identifying information about a caseworker's caseload. Each time a caseworker synchronizes the hand-held devices (synchs) with their desktop computer, the device will be updated with the latest case information from the SACWIS database, such as name, address, case number, DOB of children, phone number, and last referral information.

- Providing a "contact sheet" template. This is the form that caseworkers use to record all significant contacts with clients as well as third parties. Caseworkers will complete this form using the portable keyboard attached to the device. When the worker returns to the office and synchs their device, these contact sheets will be added to the appropriate client's record in the SACWIS database.

- Providing a portable mapping service. A number of mapping Internet sites including Mapquest provide this service free of charge to device users. Caseworkers will submit a request to the Internet mapping service for driving directions to a location prior to leaving their office [or home, if a Special Response Unit (SPRU) response] and associate the directions with a particular case in their caseload. These directions will be saved in the SACWIS database.

- Store contact information about local police departments, hospitals, motor pool locations, and key DYFS staff.

- Providing a "Safety Assessment" template. This is the form that caseworkers use to record immediate observations when assessing the child's current living environment. This is a critical component of the Structured Decision Making methodology currently being implemented.

The Implementation Vendor must ensure that the device functionality is consistent with the security requirements of the in-office SACWIS.

In the future DYFS may consider adding wireless access to these devices. This would enable the devices to send and receive e-mail as well as giving DYFS the ability to "push" referrals directly to caseworkers' devices. Bidders may make recommendations concerning wireless access. Any purchase of hand-held and wireless equipment is the responsibility of the State.

3.3   FUNCTIONAL REQUIREMENTS

New Jersey SACWIS will provide the capability to meet all State and Federal SACWIS requirements. A compilation of the business and other requirements for the proposed SACWIS system is contained in Appendix 1. These requirements must be verified and validated through Joint Application Development (JAD) sessions with State staff.

The subsections that follow describe the overall technical requirements for the SACWIS project.

3.4   HOST PLATFORM

The Bidder will evaluate the host platform configuration (hardware, software, and infrastructure) for SACWIS, based on the State's defined SACWIS standards and an Oracle database platform. The State's objective is to develop a scalable SACWIS that will provide:

- Rapid access capability with the ability to incrementally add users and concurrently update and query the database, without degradation to performance and response times

- Maximum five second response time for users to access a data entry or inquiry screen

- Maximum five second response time to process a data entry or inquiry screen

- The response time standards described above must be met a minimum of 98% of the time

- Access by multiple end users at multiple distributed sites (currently 4, 000 possible users at 50 sites)

- Connectivity to support communications between the SACWIS platform and he State's existing LAN/WAN infrastructure

The State will provide the hardware and network infrastructure for SACWIS. The Bidder shall assess the LAN/WAN and network infrastructure to determine and to identify what enhancements are required, if any, to support communications among the host platform, the LAN/WAN and network infrastructure, and the data source systems, and to meet performance and response time requirements.

The host platform will be housed at a State facility. The State assumes the costs for supplying, housing, operating, and maintaining the SACWIS platform and will supply, operate and maintain the existing State network infrastructure. The Implementation Vendor will be responsible for ensuring that the architecture is capable of providing adequate response time and performance for all SACWIS users throughout the State, and for recommending (but not providing) additional capacity to address developing program needs.

Key attributes of the architecture must include:

- An open, standards-based set of application program interfaces (APIs)

- UNIX/J2EE platform

3.5   IMPLEMENTATION VENDOR DEVELOPMENT STAFF HARDWARE

The Implementation Vendor must provide workstations for its staff as well as the software resident on these workstations that is required to support the development and implementation of the SACWIS application. The State will supply the development server, LAN/WAN connectivity, and support for the workstations. The Implementation Vendor must supply any software required to support the Implementation Vendor's development methodology.

The vendor-supplied workstations should also include desktop software defined as Microsoft software including Word, Excel, Project, PowerPoint and Visio. With regard to desktop software, the Implementation Vendor is only responsible for the workstations its resources are utilizing. The VV&T vendor and State teams will supply their own desktop software.   Any software supplied by the Implementation Vendor that is integral to the continued support and enhancement of the system must be transferred to the State when the Implementation Vendor's contract ends.

3.6   DATA QUERY, RETRIEVAL AND REPORTING

Data query, retrieval and reporting requirements will vary from accessing relatively small amounts of data very quickly to generating comprehensive reports utilizing large volumes of data. The Implementation Vendor is required to provide a solution that makes all data contained in the database available to authorized State users or help desk staff through the use of the various software tools that provide the capability for ad hoc reporting and analysis.

3.6.1   Reporting Capabilities

The Bidder shall provide an overview in its bid proposal of the standard reports that will be available with the transfer SACWIS and their applicability to DYFS business processes.

3.6.2   Production Reports

The State staff will identify the new and existing Service Information System (SIS) and other legacy system production reports that are required, and work with Implementation Vendor staff to determine the SACWIS

equivalent. The State will review existing reports available with the transfer SACWIS, and select those that meet DYFS needs. The Implementation Vendor will modify these to meet production report standards.

In addition, the State will identify and the Implementation Vendor will create and deliver 90 new production reports. Some production reports should allow user-supplied selection when the report is run, such as a date range, geographical areas (statewide, region, county or office), client characteristics, etc.

All SACWIS production reports will be directly accessible from the SACWIS application.

3.6.3   General Requirements for Production Reports

The Bidder must propose methods to optimize performance such as implementation of report server(s).

Certain production reports will be run automatically on a job schedule, and the results will be published online until the next scheduled execution. The results may be printed locally, viewed online with scrolling capability, or downloaded to a spreadsheet. For printing, a portion of the report output will be selected.

Certain production reports (possibly overlapping with the above group) will be available for execution as requested. These reports will allow user-supplied selection when the report is run, such as a date range, geographical area, (statewide, region, or office), client characteristics, etc. The results may be printed locally, viewed online with scrolling capability, or downloaded to a spreadsheet.

The Implementation Vendor will develop a method to detect and prevent "runaway reports," which is the user-requested execution of a production report that would degrade system performance. The mechanism must consider the user-supplied selection or the number of records being requested when deciding if the report should be allowed to proceed. The user may choose to cancel the report or reschedule it.

All production reports must adhere to standards concerning format, security, headings, dates, column labeling, user-supplied selection, and other criteria to be specified in JAD sessions.

3.6.4   Ad Hoc Reports

The State of New Jersey prefers a SACWIS that will provide the ability to create flexible ad hoc reports. The Bidder will recommend and implement a strategy for predetermined and ad hoc reporting. At a minimum, the following ad hoc reporting capabilities must be met.

- Provide print preview capabilities

- Provide report-writing capabilities that support the use of format, text type/fonts, screen grid designs, and illustrations to enhance the visual display of information

- Provide the ability to import, export and manipulate data files into or from spreadsheet, word processing and database management tools as well as from the database(s). The intended use of this function is only to manipulate and merge query results for analysis; it is not intended to update the database.

- Provide page-formatting features for creating presentation quality reports

- Perform a minimum of three levels sorting in ascending and descending order

- Provide the capability to indicate header information, date and run time, and page numbers on reports. Header information must also include the capability to title reports and provide the user with the ability to include short notes and/or explanations in reference to the report. The user must also be provided with the ability to provide headings and descriptions for integral segments of a report.

- Provide user-defined headers, footers, columns, and rows

- Provide calculation capabilities, including summary values and derived fields

- Provide simple and complex cross-tabulation

- Provide for subtotaling and grand totaling

- Provide report-editing capabilities, meaning that users can apply aggregate functions (for example, sum, average, count, minimum and maximum)

Super-users, DYFS OTIS staff, the staff of the Data Analysis and Reporting Unit, and selected other staff (totaling approximately 60 people) will be trained by the Implementation Vendor in the chosen report writing tool to create standard or ad hoc reports that will be considered non-production reports.

All levels of security for viewing detail data on standard or ad hoc reports must be enforced in a manner consistent with other parts of the SACWIS system.

3.6.5   NCANDS and AFCARS Reporting

The Implementation Vendor will be responsible for developing accurate, compliant National Child Abuse and Neglect Data System (NCANDS) and Adoption and Fostercare Analysis Reporting System (AFCARS) reports as required by ACF.

DYFS is required to submit extracts of the existing legacy data sets to comply with reporting requirements for the national ACF AFCARS and NCANDS databases. Working with the State, the Implementation Vendor will develop a methodology to use the data collected through the SACWIS system to:

- Successfully submit AFCARS data from the State's SACWIS to the Federal AFCARS database

- Successful submit NCANDS data from the State's SACWIS to the Federal NCANDS database

3.7   DATABASE DESIGN

The Implementation Vendor will be responsible for the design and implementation of the SACWIS database. The Implementation Vendor must:

- Utilize Oracle version 10.x as the database platform. (The State will provide the necessary Oracle licenses.) However, the version of Oracle must be not more than one release back from the latest released version of Oracle at the time of implementation.

- Perform all necessary tasks to ensure that the most efficient design will be implemented to provide the best possible cost-effective performance

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- Design and implement a database architecture that has the capability to grow over time

- Design an integrated, comprehensive database satisfying all SACWIS requirements and security requirements

- Reference the existing DHS Logical Data Model when constructing the DYFS SACWIS logical and physical data model

- Modify the database structure and design to conform to performance requirements when necessary

3.8 DATA CONVERSION

The Implementation Vendor must plan, coordinate and monitor all conversion activities.

3.8.1 Description of SIS Legacy System

The Service Information System (SIS) is DYFS' primary mainframe legacy system. Most data fields in SIS are coded rather than textual. DYFS successfully uses SIS to meet its AFCARS and NCANDS reporting requirements, and it is essential that the legacy data needed for these efforts is available in SACWIS. Data is stored in a hierarchical DMIV structure in SIS.

The family-based SIS legacy system occupies approximately 10 gigabytes of disk space. There are approximately 1,020,000 client records in the active area representing about 250,000 cases/families. In the inactive area, there are another estimated 500,000 client records. Cases prior to April 1985 have gone through a previous conversion. They may not meet current editing criteria, and will not be loaded into SACWIS. The overall percentage of duplication is unknown.

3.8.2 Data Conversion Effort

The Implementation Vendor will be responsible for all automated conversions for the SACWIS project. State staff will be responsible for all manual conversions. State staff with extensive knowledge of the SIS legacy system teamed with resources from the implementation vendor will perform the analysis to determine the data conversion algorithms needed to load the SIS/Oracle download (Section 3.8.3.1) into SACWIS, including instructions on handling data exceptions. Much of the logic exists in the programs that currently run the NCANDS and AFCARS reports, although the logic is often complex. Implementation Vendor staff will ensure that the State staff clearly understands the appropriate SACWIS tables and data elements into which the data should be loaded.

Implementation Vendor staff will program the routines to extract the data from the SIS/Oracle download, load it into SACWIS, and develop reports which clearly demonstrate that the load and all possible situations are handled properly to provide an audit trail for all the data loaded into the system. The Implementation Vendor is responsible for uncovering instances of data for which the handling was not defined by State staff. In other words, the State intends to define the handling of all possible codes, combinations of codes, and instances of missing or conflicting legacy data. However, if a situation occurs which has not been defined, the Implementation Vendor is responsible for discovering it and requesting the rule on handling it, rather than letting it default in some unintended way.

The SACWIS database will include all electronic case information in SIS, and then archive the older information. SIS contains 1,520,000 client records of which 1,100,000 will be archived in SACWIS. For

archived cases, basic demographics on the involved individuals will be retained in SACWIS. For all cases,

the following SIS identifiers must be carried forward onto the SACWIS person record: the KC (case) number, the associated member number, and the case name.

3.8.3   Data Conversion Issues

3.8.3.1   SIS/Oracle Download

In an effort to prepare for SACWIS, State staff have created Oracle tables and loaded all SIS data into them. This is referred to as the SIS/Oracle download. The Oracle tables are kept current via a nightly update from SIS. No data cleansing routines are used in the transfer. The data set stored in Oracle will be used as the system of record for converting and loading data into SACWIS.

3.8.3.2   Data Clean Up Effort

Data stored in the SIS and Oracle database is known to have some inaccuracies, duplication and gaps. The Implementation Vendor will produce reports to identify case or client records in the SIS/Oracle download database that are probable duplicates, based on criteria supplied by State staff. State staff will be responsible for any manual effort to verify duplicate cases or clients. Each office (or perhaps the super-user from that office) will receive a list of individuals and cases to resolve. Each office will determine whether merging should occur and, if conflicts exist, which data is correct. Each office will complete this identification effort before their rollout date.

It has not been determined whether actual merging will be performed on the records while they reside in SIS/Oracle or after they are loaded into SACWIS. A methodology and process must be defined by the bidder and implemented by the bidder and approved by the State that will enable SACWIS support personnel to merge data as an on-going function of system support. State staff, rather than Implementation Vendor staff, will perform manual data clean up activities.

3.8.3.3   Expunction

The SACWIS system must perform expunction (i.e., deletion of case records) as required by State statute. Only cases classified with a finding determination of "unfounded" shall be subject to record expunction. Cases must be expunged if an allegation is investigated with a finding determination of "unfounded" only; there have been no new referrals regarding the client family for three years; and DYFS did not provide any services to the family other than intake and/or investigation. If more than one allegation against the family is investigated over time, and each allegation is determined to be "unfounded", the entire case shall be eligible for expunction three years after the most recent finding of "unfounded". Cases subject to an automatic review for expunction include those cases in which the most recent finding of "unfounded" occurred during or after April 1997.

Approximately 200 cases per month are reviewed for expunction. Cases that meet the basic requirements for expunction are identified on a computer printout, with each page forwarded to the appropriate District Office for review and approval. The State is responsible for proper expunction in SIS and also in the Oracle downloads. The Implementation Vendor is responsible for implementing the New Jersey expunction rule within SACWIS.

3.8.3.4   Archiving

The Implementation Vendor will create an archiving mechanism, which allows the State to select cases to archive based on case closing date, case findings, age of members, and combinations of these elements. Basic demographics on the involved individuals will remain in SACWIS, but full case information will be archived.

3.8.3.5   Access to Archived Data by Caseworkers

When full case information is needed on a case where only basic demographics are still in SACWIS, the worker will be able to select that case from a search screen and initiate access to full historical information on that case. This access need not be immediate, but must be no longer than overnight.

3.8.3.6   Access to Data for Longitudinal Studies

A method must be provided to combine online and archived data together for longitudinal studies or data analysis purposes. A subset of the longitudinal studies will be satisfied by reports developed by the Implementation Vendor; others will be developed by the State data warehouse team. The Implementation Vendor will not be responsible for developing reports off of the data warehouse.

The Medicaid Management Information (MMIS) Shared Data Warehouse (SDW) may prove to be the best data source for longitudinal studies, because it will contain a significant portion of the SACWIS data, as determined by DYFS as well as include other critical data from different DHS divisions. Bidders may recommend solutions that involve this warehouse. Development of the SDW will be conducted in several phases. SACWIS data will be added to the warehouse during the interface phase of the SACWIS implementation. The implementation vendor will be responsible for developing the extract that will be used to interface with the data warehouse.

If the bidder recommends solutions that involve the SDW, then the bidder must also propose the methodology for accessing the data within the SDW by DYFS staff. The recommendations must be approved by the State.

3.8.3.7   Assignment of Uniform Client Identifier

The State requires the ability to monitor and analyze information regarding the services provided to the clients it serves within DYFS and within the entire DHS. As a result, it is necessary to map information currently resident in DYFS' case-centric and family-centric SIS database to a client-centric database.

With the implementation of the SDW, a "Uniform Client Identifier" (UCI) that would identify each individual receiving services will be implemented by the SDW vendor.

The Implementation Vendor will be required to conform to the convention in use within the SDW to assign UCIs to DYFS clients in the SACWIS system consistent with the algorithm established by DHS.

The Contractor will also be required to provide the capability to identify records that have been assigned a UCI that may be of suspect confidence, and to provide a facility to manually review and correct UCIs. Suspect confidence may occur if two records initially match sufficiently well to assign one UCI, but do not match perfectly; or if two records initially do not match sufficiently well to assign one UCI, but some level of match was detected.

The capability is required to manually correct a UCI that has been incorrectly assigned, and to automatically

update all records within the SACWIS database to reflect the corrected UCI. In addition, it must be possible to manually merge multiple UCIs into one and resolve any resulting data conflicts, and to manually split one UCI into multiple UCIs and separate the related data.

3.8.3.8   Other Legacy Systems

The Implementation Vendor will convert the following mainframe systems that will be replaced by SACWIS. The relevant data will be converted and loaded into SACWIS.

- *Provider Caretaker Information System (PCIS).* This mainframe Oracle system is used to record information about the people and organizations who provide a variety of services such as placement, day care, medical, legal, and transportation to DYFS' clients. The following information is maintained: demographic information, provider's location and mailing address, status, type of service provided, service dates and target population. For placement providers, a summary of children currently placed is also maintained. The provider data will be converted and loaded into SACWIS. (SIS maintains the correlation of providers and clients.)

- *Client Payment and Accounting System (CPAS).* Based on information entered into SIS and PCIS, DYFS' caseworkers must certify payment for on-going board and clothing services, on a monthly basis. The Client Payment and Accounting System (CPAS) is a series of processes that provide an automated mechanism to "assemble" the SIS and PCIS information into thousands of board and clothing certifications in a short time. It is also the mechanism used to authorize the Department of the Treasury to subsequently issue checks to substitute care providers using the Certification information DYFS supplied to them via electronic file transfer.

- *Claim for Payment System.* This Bull DMIV system is a comprehensive payment and accounting system that is used to certify and pay for client services which are generally non-recurring monthly expenses. Only the current month's pending payments are stored here. Payment history is stored in the Payment History Data file. These payments are distinct from payments made through the District Office Bank Account (DOBA) and the CPAS payments.

- *Payment History Data.* This Bull DMIV file is the cumulative file of payments made by NJ Department of the Treasury that were certified through the Claim for Payment System.

- *Random Moment Study (RMS).* This Bull DMIV system documents the activities of casework staff for cost allocation purposes. Two years of data will be converted and loaded into SACWIS.

The following Oracle-based systems will be replaced by SACWIS. The data will be converted and loaded into SACWIS.

1. *Adoption Safe Families Act (ASFA) Permanency Tracking Application (PTS).* This system gives employees the ability to track ASFA milestones for caseloads. Workers can see data concerning all of the children on their caseload who are in foster care, the placement history for each of these children, information about the status of adoption work/conferences, the authority for placement, and the case goal. Supervisory staff can see this information for each worker or an entire unit of workers; managers can see this information for every child in the office. This application is currently operational. DYFS is in the process of developing various ASFA related reports. The client data is obtained from SIS. The permanency tracking data will be converted and loaded into SACWIS.

2. *DYFS Form 26-81 Out-of-Home Permanency Assessment/Case Plan/Court Report Form.* This web-based application, tied to the SIS/Oracle download file, allows workers to complete assessments for children in placement. These assessments are completed every six months and are shared with a number of parties including the Child Placement Review Boards and the Family Courts. This application is currently in use.

    The client data is obtained from SIS. The point-in-time client data and the textual information for each assessment will be converted and loaded into SACWIS.

3. *Home Provider Tracking System (HPTS).* This web-based application is used to record information about potential foster and adoptive parents and tracks them from inquiry through final certification/licensing and beyond, including pre-service and in-service training, and allows children awaiting foster placement to be matched with suitable foster parents. The data will be converted and loaded into SACWIS.

4. *Contacts and Visitation History.* This application is in pilot test. It is web-based and makes use of the SIS/Oracle download file. The application allows staff to record dates that they have seen clients and also provides them with the ability to record information about their significant contacts associated with these clients. The application also records the date that entries are made into the system and allows supervisors to record their review and approval of entries at least once every 30 days. This application will be replaced by SACWIS.

5. *Institutional Abuse Tracking System.* This system is based in Oracle. It is used to track institutional abuse referrals and data relevant to the operations of the Institutional Abuse Units. The data will be converted and loaded into SACWIS.

The Implementation Vendor is responsible for converting the following PC-based systems, which will be replaced by SACWIS. The data will be converted and loaded into SACWIS.

1. *Contract Administration System (CAS).* This system is based on MS ACCESS, Visual Basic 6.0 and Microsoft SQL 6.5. Information about all client service contracts is maintained in CAS, which regional and central office contract administration staff use to produce reports. This functionality must be included in SACWIS.

2. *District Office Bank Account (DOBA).* This system is based on MS ACCESS, and is used by offices to issue emergency checks for non-recurring services on behalf of DYFS clients. Payments which have been issued but not recorded centrally will need to be loaded into SACWIS. Payment history is logged and need not be loaded into SACWIS. After implementation, SACWIS will store all payments going forward. Data from a minimum of two pervious fiscal years, and the current fiscal year, must be included in the SACWIS.

3. *Adoption Match System (AMS).* This system is based on MS ACCESS, and is used by the Central Adoption Unit to record the characteristics of both children awaiting adoption and prospective adoptive parents to facilitate matching children with adoptive homes.

4. *Child Care Information and Retrieval Program (CHIRP).* This system is based on FoxPro 2.0, and is used to track data relevant to the facilities that DYFS is mandated to inspect. It also captures information concerning registered complaints about the facilities. The data will be converted and loaded into SACWIS.

5. *Adoption Agencies and Sponsoring Organizations (AA/SO).* This is a small PC-File table which contains all of the adoption agencies and sponsoring organizations with which DYFS has regular contact. This table will be converted and loaded into SACWIS.

6. *Clients.* This system is based on FoxPro 2.0, and contains SIS information for all active clients receiving services. The data is used to print letters and specialized forms, case/client assessments and case plans. The data is downloaded daily and monthly from SIS, then moved into the application. The forms and letters will need to be incorporated in SACWIS, but client data will primarily be obtained from the SIS/Oracle download.

3.9   RESOURCE DIRECTORY

The Implementation Vendor will develop and implement a comprehensive integrated resource directory for the SACWIS. The central resource directory within SACWIS will house information on service providers, foster homes, and other caregivers. In addition, the service providers in DHS' central resource directory will be loaded into the SACWIS directory. It has not been determined whether none, some, or all of the SACWIS service providers will be loaded into the DHS central resource directory. The DHS central resource directory stores contact information about the provider, specific facilities, and population served, but unlike the SACWIS directory, does not store rates, vacancy information, or contract information.

3.10   STRUCTURED DECISION MAKING ASSESSMENTS

DYFS is in the process of contracting with a third party vendor to assist with the development and implementation of a set of automated Structured Decision Making Tools. The Implementation Vendor will be responsible for integrating these Structured Decision Making Tools ("tools" or "assessments") into the SACWIS application.

These automated assessments will include a Screening (Intake), Safety (Immediate, on-site assessment) and Risk (Long term) assessments The system will incorporate these tools into the SACWIS application, in addition to building any other assessments required to satisfy Structured Decision Making (SDM). These assessments will appear at the appropriate stage in the handling of each case as part of the workflow aspect of the system. Each assessment is a series of questions to which the worker must respond before moving to the next stage. In this way, the assessments build upon one another. The questions that are asked may vary according to the responses on previous questions and information already on file. In particular, the Screening, Safety and Risk Assessments will be integrated into the case plan.

A specific recommendation for the case is then generated. There will be a process or mechanism for a worker to override a recommendation. The system will help enforce the final decision by blocking functions inconsistent with the decision.

The automated Structured Decision Making system will generate feedback to the caseworker/supervisor appropriate to each assessment tool. For example, the screening tool will recommend whether the case should be accepted for investigation and, if accepted, assist in the determination of response time. The safety assessment tool will assist in determining whether a child is safe and the steps necessary to ensure safety. The risk assessment tool will assist the caseworker/supervisor in determining the future risk of maltreatment. The system will help enforce certain case activity as well as include override capability at appropriate decision points. The planned system will assist both caseworkers and supervisors by tracking and monitoring the completion of safety and risk assessments of families under supervision.   It will also assist in determining staffing and resource needs.

The assessment tools currently in use, planned or under development are:

- Screening decision

- Safety assessment

- Risk assessment (to address decision making to assist the worker in case opening/closure and child well being)

- Strength and needs assessment

- Family reunification assessment

- Substance abuse assessment

The Implementation Vendor will be responsible for incorporating these assessments as well as any additional assessments developed during the project. A number of task-focused subcommittees have been formed and have begun to address specific issues relating to structured decision-making including safety assessment, screening, intake, and risk assessment. Recently a paper version of the Safety Assessment was implemented in all DYFS District Offices and Adoption Resource Centers (ARCs). These subcommittees continue work on the development of a risk assessment tool and screening and intake criteria.

These subcommittees will work with the Implementation Vendor and during the analysis and design stage of the project. Additional subcommittees will be formed over the duration of the project to address other outstanding SDM issues.

Not all of the assessment designs will have been finalized at project initiation. "Placeholders" may be left for those assessments that are not yet designed. Any assessment developed must have the capability to be modified and adjusted over time. The specific text of assessment questions and recommendations, as well as decision rules, scoring procedures, and other components of the assessment must be easily modifiable by the State. Sample assessments developed to date are included in Appendix 6.

3.11 SYSTEM RELIABILITY

Since the host platform will be housed at a State facility, the operation and physical security of the host platform will be the responsibility of the New Jersey OIT. However, the Implementation Vendor must ensure the SACWIS System is protected against software errors in system operation.

The system must be compatible with State procedures and efforts to ensure reliability and recovery, including telecommunications reliability, file back-ups, and file recovery as described in subsection 3.13, BACK-UP AND RECOVERY.

3.12 SECURITY

The Implementation Vendor must ensure that the SACWIS system safeguards access to data and applications in the system. Users who are not authorized to access certain applications and/or data will be prohibited from retrieving, viewing, using, or otherwise acquiring access. Internal users from all statewide DYFS offices will be accessing the SACWIS System over the DHS Intranet. The system will be available on a 24-hour, seven-day per week basis.

The Implementation Vendor must ensure that system development and operations of the SACWIS System are in accordance with the following Federal regulations and guidelines related to security, confidentiality, and auditing.

- Computer Security Guidelines for Implementing the Privacy Act of 1974 (FIPS PUB 41)

- Guidelines for Security of Computer Applications (FIPS PUB 73)

- The Health Insurance Portability and Accountability Act (HIPAA) of 1996 and its implementing regulations

OIT and the DHS support the use of Public Key Infrastructure (PKI). The successful bidder will be required to address security for the SACWIS system within this context.

While specific levels of security will be determined during the SACWIS design phase, the selected Implementation Vendor must design and implement various levels of security within the on-line applications, including but not necessarily limited to, the features listed below:

- Unique sign-ons and single sign-ons for each user

- Required passwords for each user that will expire on a staggered schedule determined by the State and that can be changed at any time by the user or by appropriate State or Implementation Vendor management personnel. The Implementation Vendor should consider the use of secured digital IDs for this purpose.

- Restriction of aggregate data level file/table, record/row, and field/attribute to specific users and/or groups of users with common access rights as specified by the State

- Procedures for safeguarding the system from unauthorized or unintentional modifications to the application programs and the data contained in the SACWIS database

- Automatic timeout and logoff based on a specified number of minutes of inactivity by the user as specified by the State

3.13 BACK-UP AND RECOVERY

The Implementation Vendor must coordinate with OIT to ensure that adequate back-up and recovery occur. In cooperation with OIT and DHS, the Implementation Vendor will ensure that system back-up and recovery capabilities are in place so that normal processing can be resumed within the prescribed time period in the event of a disaster or major hardware/software problem at the State site.

NJ OIT has contracted for the preparation of a "Business Feasibility Study Recovery Assessment Report" which will address disaster recovery for the servers on which SACWIS will be installed. The plan resulting from that study is expected to be in place by the time that the SACWIS Implementation Vendor begins work.

3.14 LOCAL AREA NETWORK SPECIFICATION

The Implementation Vendor is required to analyze the existing network to ensure that it will support the Implementation Vendor's proposed SACWIS System.

In the bidder's proposal and during the contract, the State expects the Bidder to review the LAN/WAN network configuration and recommend modifications if necessary. The purpose and intent of the bidder's recommendations should be to:

- Ensure that SACWIS performance requirements are met

- Ensure satisfactory user performance and interactive response

- Ensure that an infrastructure is provided that supports the proposed SACWIS

- Avail the State of the Implementation Vendor's experience and expertise

- Ensure confidential handling of sensitive client data

- Ensure that network scalability does not limit SACWIS scalability

3.15   SOFTWARE FOR WORKSTATIONS

All State staff has personal computers with Windows, the Microsoft Office suite, and Netscape browser, Internet Explorer and e-mail. The Bidder must specify any additional software that the State must supply for user workstations to access and utilize all capabilities of the proposed SACWIS.

The State shall have ownership of all software developed under any contract resulting from this RFP. The State will have license rights to any software required for the operation of the system. The computer program code may be transferred to other states for SACWIS implementation.

3.16   SACWIS ROLLOUT

The Implementation Vendor is responsible for planning, coordinating and implementing SACWIS statewide. SACWIS functionality will be phased in over the course of the project. Prior to rollout of each SACWIS module there will be a complete systems test, user acceptance test and 60 day pilot period performed in at least one District Office (DO) and one ARC. During the pilot test, based on the module being phased in, both the legacy systems and the new SACWIS system will be used concurrently. The implementation vendor will be responsible for activities to ensure that data and processes are coordinated between SACWIS and any legacy system in use. When available, remote computing functionality will be tested by a small number of staff. There will be additional State and Implementation Vendor staff present at the pilot site to assist in the operation of two concurrent systems and to provide on-site support for the new system. However, Implementation Vendor staff will not assist in the operation of the legacy system.

Each module's rollout will be phased in geographically. DYFS divides the state into four administrative regions: Northern, Metropolitan, Central and Southern. Within each region there are multiple counties, with 21 counties statewide. A county may have one or more DOs.

The rollout will be phased in county-by-county from south to north. This strategy is proposed because it begins with less heavily populated areas, and because it minimizes the impact on dual managed cases by following county adjacency. Neighboring counties with lower activity levels may be combined for rollout; very populous counties such as Essex County may be split along District Office lines for rollout. Each ARC will be converted when the county in which it is located converts.

The 24-hour hotline staff located at the Office of Child Abuse Control (OCAC) will be trained with the DYFS staff from the first county that is implemented. OCAC will access both SIS and SACWIS during the rollout, according to whether the case they are working on belongs to a county that has been converted.

Since SPRU caseworkers do not enter data into SIS, they will be given SACWIS training at the end of the rollout if they have not already been trained in their DO.

The third module (as defined in Section 3) will require a strategy for running dual SACWIS-SIS systems during the rollout as follows:

- During the rollout, data is never fed backward from SACWIS to SIS. Data is fed forward from SIS into SACWIS, using the Oracle database as a conduit, so the data in SACWIS stays relatively fresh.

- If a case is dual managed, the case is converted when the primary caseworker's county converts. If the primary and secondary caseworkers are on different systems, the secondary caseworker may have to fax information to the primary to have it entered, or telephone the primary to get up-to-date information.

- Each DO and ARC will have one super-user, an experienced caseworker or supervisor, assigned to the SACWIS project full time for approximately three months before the first rollout and up to six months after their own office's rollout. Other departments and areas within DYFS may also have a super-user. These 45 or so super-users will learn the new system in great depth, participate in testing, assist in the SACWIS classroom training, and provide support to their office or unit following the rollout.

3.17 HELP DESK

The Implementation Vendor will be responsible for establishing and staffing a help desk. to support SACWIS from the start of the pilot test to the end of the contract. Bidders must consider the following factors when designing the help desk:

- Geographic location of support staff

- Staffing levels

- Skills required

- Role of super-users

- Call routing

- Problem escalation procedures

- Problem ticketing

- Problem logging

- Response times

- Assignment of priority

- Ability to search through previous problems to find resolutions for new problems

The help desk must provide support from 9 AM to 1 AM (EST) on weekdays, weekends, and holidays. A higher level of support is required during normal business hours from 9 AM to 5 PM (EST) on State business days).

Support outside of normal business hours is primarily required for OCAC/SPRU, DYFS' 24-hour response units. The volume of calls after regular State business hours should decrease sharply, and the Implementation Vendor may propose a variety of levels of support, such as by pager.

The State will assign one full time staff person to the help desk. The Implementation Vendor is responsible for proposing and providing adequate additional staff. The Implementation Vendor will assume primary responsibility for staffing the help desk at the beginning of the pilot test, and will transition the responsibility at the end of the contract as part of the turnover plan.

3.18 CHANGE MANAGEMENT AND COMMUNICATION

The implementation of a major new system in a large organization necessitates extensive change in the responsibilities of the staff and the culture of the organization. The Implementation Vendor is responsible for developing and implementing a comprehensive change management, communication and workforce transition plan. Unless the introduction of the new system is properly facilitated, existing staff may resist the use of the new software and procedures. Examples of issues that DFYS faces related to the implementation of the new system include:

- A significant percent of case workers have less than 5 years of experience

- Workers have minimal access to laptops

- Many employees are not accustomed to formal work flow

- Segments of DYFS staff require basic computer training

The Implementation vendor is responsible for developing an approved comprehensive change management plan. Bidders are required to describe an approach for change management before, during and after the implementation and rollout of the new SACWIS. The plan should include the Implementation Vendor's philosophy of change management, steps to minimize resistance and increase acceptance of SACWIS, communication initiatives, audiences to be targeted for change activities, workforce preparation initiatives and specific deliverables, and outputs related to change management.

Effective change management is viewed as essential for this project's success. In its response to the RFP, the Implementation Vendor shall at a minimum discuss the following issues related to the change management approach.

- General philosophy about change management and its relevance to this project

- Specific types of change management activities to be initiated before, during and post implementation. Need to address change/communication activities as well as approach around workforce transition (i.e., how will DYFS mobilize the workforce to adapt to and use the new system)

- Description of how each employee group will be targeted for change management initiatives, what the activities related to each target group will be, and strategies for engaging each group. Groups to include are (but not limited to):

  - Division/Department Senior Leadership

  - Management

  - Research Groups

  - Supervisors

  - Case Workers

  - Clerical/Support Staff

3.18.1   *Communication Overview Session*

Several months before rollout, the Implementation Vendor will hold overview training classes that all future SACWIS users will be required to attend. The purpose of this training is to inform staff of the forth-coming changes, generate enthusiasm, allay fears, and uncover problems that may occur during rollout, especially those related to user acceptance of the system. These sessions will include demonstrations and handouts.

Overview classes will be offered statewide at DYFS offices to best accommodate the State users' schedules. Office conference rooms generally seat 12 to 25 staff, and offer LAN connectivity. The vendor is responsible for the computer and projection system needed to demonstrate the system. Topics will include, at a minimum, the objectives and purpose of SACWIS, an overview and demo of SACWIS functionality, new procedures/practices, a discussion of the degree of complexity surrounding the implementation of a SACWIS system, and further training and support offerings.

3.19   TRAINING

The Implementation Vendor is responsible for all SACWIS user and technical training. The Implementation Vendor is required to create master copies of training materials and train (or subcontract to train) all users in the features of the system relevant to their job functions until the rollout is completed. The training of new or transferred workers after rollout will be the responsibility of the DYFS Training and Staff Development Unit. The State will provide a portion of the training staff during rollout as outlined below.

The training will consist of conventional classroom training, supplemented by self-guided computer-based instructional CDs, and web training. Through the completion of rollout, the Implementation Vendor is responsible for the creation of master copies of all class materials, including course books, exercise books, tests, and evaluations. These materials must coordinate with the trainer's lectures and demonstrations.

The Implementation Vendor must supply the master copy of a quick reference guide for each training module.

The Implementation Vendor will create and provide master copies of the annotated version of the course books and exercise books for use by new trainers that describe the flow of the lecture and the corresponding online demonstration.

The Implementation Vendor is not responsible for large volume photocopying to support training or

documentation. For training, the Implementation Vendor must coordinate with the State's printing office to design materials which suit the State's or it's outsource vendor's reproduction capabilities, and to ensure the materials are produced and distributed as needed.

The Implementation Vendor will provide an electronic version of all materials, and ensure that they are kept current to the production release for the duration of the Implementation Vendor's contract. The Implementation Vendor is required to periodically update training to reflect improvements suggested by DYFS training staff. The Implementation Vendor will not be required to provide training in basic personal computer skills.

The Implementation Vendor's trainers will follow the DYFS training procedures including classroom setup, cleanup, attendance taking, testing, and course evaluations.

3.19.1 Pre-Implementation Computer-Based SACWIS Familiarization Training

The Implementation Vendor will develop interactive computer-based training (CBT). This courseware will be utilized by staff following the overview training but prior to implementation training, and will include an overview of the new SACWIS system, some detail on the functions used by caseworkers (since they constitute the largest group of users) and simulation of hands-on usage. This courseware may be distributed via compact disks (CDs) or stored on a server.

The computer courseware must be capable of:

- Verifying which caseworker has used the courseware

- Reporting times and dates of activity

- Reporting course completion and score(s) to the caseworker's supervisor, either electronically or through printed certificates

The expected outcome is to have staff enter the implementation courses with some familiarity with the SACWIS system.

3.19.2 Implementation Training

Implementation training will occur prior to each office's scheduled rollout of each module. The curriculum will be tailored to the attendees. Tests and course evaluations must be administered at the end of each course. Test scores must be loaded into the SACWIS to be stored with the employee's training record. Course evaluation scores must be loaded into the SACWIS system to be stored with the course record and trainer's record.

The State will provide electronic lists of staff by office, by job function, and by training track needed. The Implementation Vendor will schedule the date and location for each trainee, and allow supervisors to request changes. The trainers will track attendance and class completion. The Implementation Vendor will ensure that this information is recorded, attempt to reschedule staff when needed, and provide reports.

Bidders should base their training costs on a total of 4,000 trainees. The largest groups to be trained are the 1,400 caseload carrying staff (intake and ongoing) and 450 first-line supervisors, casework supervisors and

case practice specialists. The training shall include topics such as case recording, case plans, assessments, eligibility, approvals, services, court processes, placement, and case closing.

Supervisors will receive the generic case worker training, plus additional training on supervisory functions such as setting up new workers on the SACWIS system, approvals of services, supervisory reports, case load balancing, and case transfers.

Adoption caseworkers will be trained on the same topics as generic caseworkers, as well as, receive additional training in adoption-specific topics. Adoption supervisors will receive additional training on supervisory functions during specialized adoption training.

As the SACWIS system is phased in, the role of the clerical support staff will change. Their role will become less about keying data into the SIS system and other systems and more of becoming an assistant to the caseload carrying staff. The ability to utilize the SACWIS tickler systems to assist with the fiscal and other administrative tasks required in specific cases will become possible. Training will be directed towards using the SACWIS system to further this goal.

3.19.3 *Hand Held Device (e.g., Tablet PC, PDA, etc.) Training*

The Implementation Vendor will be responsible for training the super-users in the use of the selected hand held/portable device and in the SACWIS functionality available on the device. This training will also be available to all case carrying staff. The Implementation Vendor also will be responsible for providing corresponding training materials.

3.19.4 *Classroom Facilities*

Five computer-equipped classrooms that accommodate twelve students each are available for training, in four of the Regional Offices and one at the DHS in Trenton. Depending upon the location of the office that is receiving training, generally two State classrooms would be within a reasonable travel distance and are therefore available for implementation training. The bidder may include the use of these classrooms in the training plan submitted with its proposal. No training class can have more than 15 participants.

It is anticipated that additional classroom space will be needed to meet the rollout schedule. The Implementation Vendor must obtain and, if necessary, equip this required training space. The additional classrooms must have one computer per student.

New Jersey is approximately 200 miles long, and averages 60 miles wide. The bulk of the population is in the northeast. Three to five well chosen training sites spread north to south would keep commutes within an hour. State colleges and universities, community colleges, as well as private training centers, are located throughout the State. In its planning, the Implementation Vendor should assume that staff will commute daily rather than stay overnight, and commutes should be an hour or less (except for State trainers.)

The city or town for each District Office by region is as follows:

- Northern: Bayonne, Hackensack, Jersey City, Randolph, North Bergen, Paterson (2), Newton, Washington

- Metropolitan: Bloomfield, East Orange, North Brunswick, Elizabeth, Newark (3), Perth Amboy, Cranford

- Central: Flemington, Trenton, Oceanport, Toms River, Somerville, Asbury Park

- Southern: Atlantic City, Mt. Laurel, Camden (2), Cape May Court House, Bridgeton, Deptford, Salem, Hammonton

There are ARCs located in Lawrenceville, Newark, Edison, Paterson, Voorhees, and Hopelawn.

3.19.5 Training Staff

The state will supply four part-time trainers during the rollout. The Implementation Vendor is to supply all additional trainers. The DYFS Training Office will certify the Implementation vendor's trainers before training begins. The State may request the replacement of any trainer who is viewed as unacceptable by the State.

The State will provide super-users who will act as training facilitators and will assist the classroom trainers during implementation training. As a result, the Implementation Vendor must train the super-users and the four DYFS trainers several months prior to implementation.

Training of super-users and DYFS training staff must be designed so that these trainees have a higher level of system competence than the large-scale training provided to other staff. The higher level of system competence may be accomplished through more detailed instruction, more class days, or more hands-on time.

During implementation training, the DYFS trainers and Implementation Vendor's trainers will be assisted by the super-users. One super-user will be assigned for every five to ten students in each class. The super-users will be available to circulate among the students, to assist at the PCs, and to answer policy-related and process-related questions. Super-users will not lecture trainees since this is the responsibility of the classroom trainer. After a super-user's home office goes on-line, the super-user will remain in their office to provide on-site support. If there are insufficient super-users to assist in training toward the end of the implementation, super-users from offices, which have already converted will be recalled.

State and Implementation Vendor staff must be available to support hardware issues that arise during the course of training.

3.19.6 Scheduling of Training

The Implementation Vendor is responsible for scheduling the overview and implementation class dates, classrooms, trainers, in-class super-users, attendees, class materials, system access, as well as, provide logistical support.

Courses that are longer than three days must be broken up so that workers are not away from their office for an extended period. The scheduling must allow some flexibility for workers to choose sessions around previously scheduled appointments.

3.19.7 Training Database

The Implementation Vendor will create a training database for hands-on use by students attending classes that contains a sufficient variety of data to exercise all parts of the system. The data must be based on actual cases to provide realism, but modified to protect confidentiality. Cases must reflect a variety of stages in the life cycle of a typical case (e.g., investigation, assessment, service delivery, adoption activities and case

closing).

All training courses must be designed to use a fresh copy of this training database for examples and exercises. A mechanism is needed to allow each trainee to have a copy of the same case to work with for exercises, perhaps by having multiple copies of certain cases in the training database.

There must be a method to simulate data flow to and from other systems when needed to demonstrate a function during training (i.e., to simulate interfaces without disturbing production).

The Implementation Vendor will establish a refresh schedule for the training database that matches the needs of the training schedule. If one refresh schedule cannot suit all classes, the Implementation Vendor will set up multiple copies of the training database and an easy method to access the proper copy.

3.20   DOCUMENTATION

Technical documentation and user documentation will be developed by the Implementation Vendor and reviewed by the State. The State and the Implementation Vendor will agree on specific formats during project initiation.

Technical documentation must be available electronically, and printed as needed by technical staff. It will include the knowledge and information needed for normal system operations, as well as problem fixes and enhancements. Other required documentation includes the data dictionary, the logical and physical data models, as well as each of these that reflect the transfer system before customization. All program source code must be well documented internally through the use of imbedded comment lines describing the processing as well as changes to the source code.

User documentation shall be available online through the help function, as well as through a print function which allows users to generate their own copies of selected documentation. The policy manual, previously available online via Folio can be converted but must be available online. User documentation and online policy shall include a table of contents and an index for searching.

The Implementation Vendor shall design a quick reference guide for each major DYFS job function. These are to be concise, laminated pocket guides, which the Implementation Vendor will update annually for the length of the implementation contract. The State is responsible for the production of the guides.

The Implementation Vendor will produce the documentation required by the ACF SACWIS Assessment Review Guide, including:

- System diagrams (both the technical architecture and elementary processes performed by the system)

- Numbered list of system screen prints

- Numbered list of system alerts

- Numbered list of system notices

- Numbered list of reports

- AFCARS mapping forms

- NCANDS Detailed Case Data Component (DCDC) mapping forms

- Copies of SACWIS reports used to complete the Federal IV-E 12 report

3.21 FACILITY REQUIREMENTS FOR CONTRACTED STAFF

The Contractor will provide space in New Jersey within 5 miles of downtown Trenton (DYFS central office at 50 East State Street, Trenton, NJ) for a project office. The office must be large enough to house the Implementation Vendor staff, and approximately 55 additional State project staff. The Implementation Vendor will provide office furnishings, telephone, fax, voice mail, e-mail, LAN and photocopying services. The State will provide WAN connectivity to the State networks. If the Implementation Vendor requires additional space, the Implementation Vendor should obtain and furnish office space within a quarter mile of the selected site.

The Implementation Vendor will provide each of their staff with a computer and workstation software specific to the development effort. The DYFS OIS will approve the model and configuration to avoid support problems.

3.22 MANDATORY INTERFACES

3.22.1 Federally Required Interfaces

The ACF requires interfaces to a number of the State's federally funded programs including the Title IV-A [Temporary Assistance for Needy Families (TANF)] program, the Title IV-D Child Support Enforcement system and the Title XIX Medicaid program. Although DYFS has limited interfaces to some of these State systems, these interfaces must be further automated both to improve agency performance and to meet the SACWIS system interface requirements established by ACF.

ACF also sets forth expectations concerning the results to be achieved through these required interfaces in ACF Action Transmittal # ACF-OSS-05.

The interface to the Title IV-A (TANF) system must:

- Allow for the automatic exchange of common and/or relevant data between the two systems (to prevent duplicate data entry)

- Accept and process updated or new case data

- Identify potential duplicate payments under Title IV-E and Title IV-A programs

The interface to the Title IV-D system must:

- Provide for the exchange of data necessary to establish a child support case

- Accurately record child support collections on appropriate Title IV-E Federal reports

- Identify potential child support resources for the Title IV-E child

- Allow for the automatic exchange of common and/or relevant data between the two systems (to prevent duplicate data entry)

- Accept and process updated or new case data

- Capture the data necessary to report AFCARS Foster Care data element number 62 (AFCARS Foster Care data element number 62 indicates whether child support funds are being paid to the State agency on behalf of the child)

- Provide the Title IV-D system with information about the current foster care maintenance payment, either from the SACWIS or, if the State chooses, a statewide financial system. The Title IV-D system needs this data to properly distribute child support collections for current and former foster care cases. A result of this financial distribution process in the Child Support Enforcement system may be collections disbursed to the Title IV-E agency.

The interface to the Title XIX system must:

- Provide for the exchange of information needed by the State Medicaid eligibility system to calculate and track Medicaid eligibility for children in foster care

- Allow for the automatic exchange of common and/or relevant data between the two systems (to prevent duplicate data entry)

- Capture the data necessary to report AFCARS Foster Care element number 63 (this element indicates whether the child is eligible for, or is receiving assistance under Title XIX). ACF expects that Medicaid eligibility will be calculated and tracked, and providers paid through the existing Title XIX system(s).

The Implementation Vendor will be responsible for designing the required interfaces to meet the expectations and functionalities outlined. This process will include meeting with the partner State agencies, developing a mutually agreed to plan for the sharing of information, and the actual programming required to transmit and receive data. The specific interfaces are outlined in the table of functional requirements in Appendix 1, and detailed in Appendix 2.

3.22.2   *Other State Required Interfaces*

New Jersey has a number of other interfaces that are required for SACWIS. The specific interfaces are outlined in the table of functional requirements in Appendix 1, and detailed in Appendix 5 – Interface Details.

3.23   ELIGIBILITY AND BENEFIT DETERMINATIONS

DYFS employs special workers to determine client eligibility for Federal programs. Currently, these eligibility workers are alerted to changes in placement status through the existing legacy systems. The SACWIS system must generate triggers for eligibility determination, re-determination or termination of eligibility to this category of worker based on a change in placement status or duration of placement.

3.24   DOCUMENT MANAGEMENT

The proposed SACWIS system must provide a facility for document management to allow the user to create, send, and store documents, letters, and forms. At the appropriate points during a process, the user must be able to select an MS Word template. The system must populate it with relevant information from the SACWIS database, invoke MS Word, and allow the user to complete the remainder of the template. The user may copy and paste information from the database into Word. The user will then print, e-mail, or automatically fax the document, and the system must store a protected, dated, centrally accessible copy of the Word document, with a "document pointer" or link in the SACWIS database to retrieve the stored document in the future. The user may save the document for further modification if it is not sent. A mechanism is needed to prevent the modification of a document after it is sent. A mechanism is required to label documents as discoverable or not.

During the analysis and design phase of the project, the State will determine whether system generated documents are to be stored internally in MS Word format or some other format such as HTML.

The user may create documents that are not based on templates and link them to a client or provider. When multiple, similar documents are required, the user may create the first and then copy and modify it to create the others, rather than starting with the template each time.

The system must allow access to documents only through the application. Documents downloaded to a remote device or in use must be marked as "checked out". Uploaded documents must be marked as "checked in". Security must ensure that updates are restricted to the person(s) held accountable for the action, that only one user at a time is changing a document, and that changes are tracked by date and user.

Documents which originate outside DYFS, such as a client's evaluation from a health professional, will continue to be stored as part of a paper case record. However, the system must provide a facility to store a reference to that document, such as the type of document, date, sender, description, and location of the original.

3.25 QUALITY ASSURANCE

The Implementation Vendor must meet the requirements of the SARG concerning quality assurance, including the following:

- Provide appropriate edits, range checks and prompts for critical or incomplete data. Critical data are defined as anything required for State or Federal reporting or auditing (e.g., AFCARS and NCANDS data, child and family services or Title IV-E eligibility reviews)

- Incorporate procedures for appropriate supervisory oversight and authorization related to case file reviews

- Allow for random sampling, based on variable characteristics, for audit purposes

- Be capable of recording and tracking the results of an audit, as well as any necessary corrective actions identified

- Facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results

- Generate summary management reports on client demographics and needs

- Produce reports on the length of time in foster care categorized by identified service needs and services provided

- Track referrals and all required time-sensitive actions for Title IV-B and IV-E related cases, such as initial and ongoing Administrative Case Reviews, investigations, and time sensitive treatment and service plans

- Alert line, supervisory and management staff, at the point a required action is delayed beyond a Federal, State, or court mandated time frame

- Automatically request an investigation in cases where a reviewer enters information on an apparent problem of abuse or neglect in a foster home, and track the case to ensure the completion of such an investigation

- Maintain and link variable and static data used to determine eligibility for Title IV-E payments

- Confirm data entity relationships among providers, clients, and payments

- Account for appropriate financial reconciliation of payments including overpayments and recovery by occurrence

- Contain all data necessary to effectively manage a case

- Track a child across multiple occurrences and/or cases

- Support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards

- Capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions

3.26 IMPLEMENTATION VENDOR AND PERSONNEL REQUIREMENTS

The following are mandatory requirements for this RFP. A bidder unable to demonstrate compliance with these requirements will be disqualified from further consideration for this procurement; (see Appendix 3 – Contractor Experience and Expertise):

- The Implementation Vendor must have staff with experience in implementing a SACWIS compliant child welfare system in at least one state or county; such staff must be assigned to key roles in the project.

- The Implementation Vendor must have implemented a Human Services case management system comparable in size and complexity to the DYFS SACWIS system.

- The Implementation Vendor's proposed project manager must have at least five years experience in the overall management of a human services case management implementation project.

3.27   TASKS AND DELIVERABLES

This section presents the tasks and deliverables for the design, development, implementation, and operation of SACWIS.

This project encompasses the performance of tasks for each activity to design, develop and implement a system that meets all of the requirements presented in Section 3 - Scope of Work and in Appendix 1.

3.27.1   Overview of Tasks and Responsibilities

The Implementation Vendor will develop detailed customization requirements, implement the required changes, test the system, develop interfaces, convert data from the legacy systems, develop and deliver training, produce documentation, develop production reports, initiate system operations, provide post-rollout support, and provide a smooth transition at the completion of the contracted term.

The State's project management team will work with the Implementation Vendor to ensure project success. The VV&T Contractor will also work with the Implementation Vendor to ensure compliance with requirements and system quality. An overview of the responsibilities and deliverables of the Implementation Vendor, VV&T Contractor, State Lead Technical Manager and the State is provided in Appendix 4.

3.27.2   Project Tasks

For project management purposes, the project has been divided into 18 major tasks. The completion of these tasks will be the responsibility of the Implementation Vendor, working with the State Lead Technical Manager, the VV&T Contractor and the State. Figure 2 listing the tasks and their proposed timeframes. Bidders may propose modified timeframes.

3.27.3   Recurring Tasks and Activities

These tasks are on-going for the duration of the project.

Implementation Vendor tasks:

- Participate in weekly status meetings with the State Contract Manager, Lead Technical Manager and the VV&T Contract Manager to review progress (or more frequently at the State's option)

- Keep the project work plan current and available

- Submit an updated work plan on a bi-weekly basis

- Submit written biweekly status reports on the progress of tasks against the approved work plan

- Provide one original, two copies, and the electronic version using Microsoft Office software of each document that is a deliverable. All deliverables must meet State-approved format and content requirements. Implementation Vendor deliverables are listed under each of the 18 tasks.

Implementation Vendor deliverables:

- Updated work plan on a bi-weekly basis, including complete resouce loading.

- Written biweekly status reports on the progress of tasks against the approved work plan

- One original, two copies, and the electronic version using Microsoft Office software of each document that is a deliverable. All deliverables must meet State-approved format and content requirements. Implementation Vendor deliverables are listed under each of the 18 tasks.

State tasks:

- Conduct weekly status meetings with the Implementation Vendor Project Manager and the VV&T Contractor Manager to review and comment upon progress against the work plan. These meetings may occur more frequently at the State's option.

- Approve the Implementation Vendor's biweekly written status reports and bi-weekly updated work plan, and provide feedback within four State business days.

- Review the Implementation Vendor deliverables, determine the approval status of the deliverable, and provide written comments to the Implementation Vendor within 10 State business days. Based on the review findings, the State may grant approval, reject portions of or the complete document, request that revisions be made, or may state the inability to respond to the deliverable until a future specified date.

If necessary, a follow-up review will occur within five State business days, followed by a review and comment on draft deliverables within an additional five State business days.

- Approve biweekly written status reports on the progress of tasks against the approved work plan.

3.27.4   *Project Management (Project Plan Development and Reporting)*

This task is ongoing for the duration of the contract. The primary objective of project management is the timely completion of all tasks and deliverables.

The Implementation Vendor's project management approach will meet the following project meeting and reporting requirements.

Implementation Vendor tasks:

- Participate in weekly meetings

- Prepare and submit bi-weekly and quarterly reports as outlined below

- Participate in development of problem escalation procedures

- Develop and maintain project schedule and updates in MS Project

- Propose changes to schedule and project work plan

Implementation Vendor deliverables:

- Bi-weekly reports documenting Implementation Vendor activities

- Quarterly reports documenting Implementation Vendor activities

- Establish communication procedures with input of all principal project participants

- Record and distribute the minutes of the meeting.

State tasks:

- Approve the coordination of the reporting, review and quality control process

- Monitor the progress of all principal project participants.

- Facilitate the timely resolution of issues raised by the project participants

- Approve problem escalation procedures.

- Approve schedule, method of status reporting and method of changing the project work plan..

Weekly Meetings: Throughout the project, the Implementation Vendor's Project Manager, the VV&T Contractor and the State Lead Technical Manager will meet to discuss project status.

Weekly meetings will follow a preset agenda developed by the Implementation Vendor with approval of the State. The Implementation Vendor will be responsible for producing and the timely distribution of minutes to these meetings.

Bi-Weekly Reports: Throughout the project, the Implementation Vendor's Project Manager will report on project status since the last report. The proposed format and level of detail for the status reports will be subject to State approval.

The narrative portion of the report will include, at the minimum, the following:

- Activities performed during the period by area (i.e. Change Management , Development, Quality Assurance, and Acceptance Testing)

- Overall completion status of the project in terms of the approved project work plan

- Plans for activities for the next month

- Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks

- Status of proposed budget against actual

- Problems encountered and proposed/actual resolutions

- Testing status and test results

- Proposed changes to the project work plan, if any

Quarterly Reports: The Implementation Vendor will also submit a written status report that is due to the Project Manager the tenth working day following the end of the quarter. This document, in a format to be approved by the State, will be a basic tool for reporting to Federal officials and other state officials on funding issues and program matters. A complete set of updated and current output from the Implementation Vendor's project management software, along with the corresponding project plan files on diskette, are to be provided with each quarterly status report.

3.27.5   Quality Assurance

Quality Assurance is ongoing for the duration of the contract. Quality controls must be built into every stage of the project. Systematic approaches for planning, scheduling, comparing deliverables to their requirements, problem reporting, and of obtaining acceptance are critical to ensuring that the dependent phases of the project proceed on schedule.

Implementation Vendor tasks:

- Develop and maintain a quality assurance plan

- Follow communication procedures

- Conduct quality review meetings

- Follow the SARG requirements concerning quality assurance functions

- Provide information required for quality assurance monitoring to the State and the VV&T Contractor

- Provide plans and schedules for addressing any deficiencies identified through the quality assurance process

- Record and distribute the minutes of the meeting

Implementation Vendor deliverables:

- Quality Assurance Plan and Schedule

- Plans and schedules for addressing any deficiencies identified through the quality assurance process

State tasks:

- Follow communication procedures

- Attend quality review meetings

- Assess and approve Implementation vendor plans for addressing any deficiencies identified through the quality assurance process

3.27.6   *Change Management and Communication*

This task focuses on preparing DYFS staff for the changes in their daily work flow brought about by SACWIS, including new procedures to follow, new interdependencies with other parts of the organization, new allocations of workers' time, increased visibility of workers' case handling, and increased interaction with the computer. Proper change management will identify and resolve potential problems, encourage communication, and help staff focus on the benefits of SACWIS rather than the uncertainty which accompanies change. For the purpose of this project, several initiatives fall under Change Management and each shall be addressed within the Implementation Vendor's approach:

- **Change Management**—specific tasks related to minimizing resistance and increasing acceptance

- **Communications**—specific communication initiatives to support the change management effort as well as educate and inform DYFS staff before, during and post implementation

- **Workforce Transition related to Business Process Redesigns (BPR)**—specific activities related to transitioning the workforce from current operations and work efforts to future processes and operational redesigns related to the SACWIS implementation. Workforce transition activities should be done in collaboration with training planning and initiatives.

Implementation Vendor Deliverables:

- Impact analysis report of SACWIS on the major DYFS work groups by job function including but not necessarily limited to:

  - Issues/challenges that each group faces

  - Perceptions of and key concerns about SACWIS by each group

  - Impact of SACWIS on each group

  - Summary document of recommendations for addressing each issue/challenge identified

  - Communication methods and vehicles to be used to educate and inform DYFS staff before, during a post implementation by employee group

  - Detailed Change and Communication action plan and timeline including key milestones and deliverables/outputs as well as expected benefit and goal of each initiative

  - Description of tools (e.g., surveys, presentations, electronic mail…) to be used for assessing impact of change management before, during and post implementation

- Workforce Transition Report:

  - Identify any new or changed position/jobs required for process changes related to the new system—assess by work group type

  - Assess current job requirements by work group type (related to SACWIS business processes)

  - Develop a gap analysis between current and future job requirements

  - Ensure training initiatives identify a plan to resolve gaps and assist with employee transition to new or changed jobs/responsibilities

  - Develop a detailed workforce transition plan that corresponds with the training plan

3.27.7   *Project Initiation*

The work site will be prepared by the Implementation Vendor, for occupation by the project team and for installation of all hardware and software for development will be installed. The State's project management team, the VV&T Contractor and the Implementation Vendor will work together to refine the project work plan submitted in the bid proposal. After contract award, the Implementation Vendor will submit the following to the State's project management team: the updated project work plan, a project management procedures document, quality assurance plan, a preliminary communications plan outlining regular meetings, reports, and communication flow, a preliminary change management plan and a technical standards and procedures manual for programmers to ensure a consistent approach and result, including source code that is well-documented through the use of imbedded comment lines.

Implementation Vendor tasks:

- Refine project work plan with State input

- Install workstations and software for which Implementation Vendor is responsible

- Secure and occupy work site

- Install SACWIS or modular (framework) software to be modified

- Develop orientation plan concerning project implementation

Implementation Vendor deliverables:

- Orientation plan concerning project implementation

- Updated project work plan

- Project management procedures document

- Quality Assurance Plan

- Communications plan

- Change Management plan

- Technical standards and procedures manual

State tasks:

- Approve all plans

- Supply hardware, software, and infrastructure for which State is responsible (See Section 3.4 of the RFP.)

- Approve the project management procedures document proposed by the Implementation Vendor

3.27.8 *Analysis and Design*

This task will result in defining the detailed modifications to the SACWIS software. During this task, the Implementation Vendor will conduct JAD sessions with State staff to validate and refine the functional requirements listed in this section and Appendix 1 and prepare detailed functional and technical requirements, system changes, and detailed design specifications.

Implementation Vendor tasks:

- Design the approach to web-basing

- Conduct JAD sessions (see Appendix 4 for State staffing)

- Gain a complete understanding of DYFS processes, requirements, and data

- Document DYFS processes and requirements through use cases

- Design future (to-be) business processes that will exist as a result of the SACWIS implementation. Identify any gaps between current and future processes.

- Conduct data modeling sessions to refine the database design

- Validate needs through prototyping of forms/screens, menu navigation, and business functions

- Conduct walk-through of deliverables for this task

- Review the existing DHS Logical Data Model and Data Dictionary

Implementation Vendor deliverables:

- Detailed Requirements Specification Document, including functional, technical, and operational requirements.

- System requirements will be captured and documented through use cases and functional specifications.

- Future (to-be) business process work flows that will exist as a result of the SACWIS implementation

- Gap analysis deliverable identifying any gaps between current and future processes

- A system prototype showing screen layouts and flows (draft and final versions)

- General System Design document (draft and final versions).

- Detailed System Design document, including physical data model, programming specifications and screen designs, descriptions of inputs and outputs, data editing rules, data exception rules and default values (draft and final versions)

- Logical data model showing entities, relationships and attributes (draft and final versions), consistent with but providing a greater level of detail than the relevant portions of the DHS Data Model

- SACWIS data dictionary mapped or referenced to the DHS data dictionary

State tasks:

- Clarify, at the Implementation Vendor's request (and with the assistance of the subject matter team leaders), program policy, regulations, forms, and procedures to support requirements analysis sessions

- Approve all documents

3.27.9　System Development and Unit Test

The Implementation Vendor will perform unit testing. System, user and operations documentation will be produced and kept current. Implementation Vendor tasks:

- Code all new or modified program modules

- Create test data and test environment

- Design and perform unit testing

- Report test results

Implementation Vendor deliverables:

- Program code

- Report detailing results of unit tests

- SACWIS system-ready for system test

State tasks:

- Approve test plans and results

- Monitor problem resolution and re-testing

- Approve unit tests and authorize Implementation Vendor to proceed to next step in system development

3.27.10　Legacy Data Conversion

The Implementation Vendor will plan and coordinate all conversion activities. The Implementation Vendor will work closely with the State to formulate data conversion algorithms and develop a detailed data conversion plan to convert the existing computerized data. Conversion of data to meet NCANDS and

AFCARS requirements is essential. The Implementation Vendor will develop and test the data conversion and clean-up software. The VV&T Contractor and the State will also test the data conversion and clean-up software.

The State will be responsible for any required manual data conversion efforts, although automated methods will be used as much as possible. Manual efforts are defined as single-record efforts. Automated efforts are defined as the processing of groups of records. The Implementation Vendor is responsible for developing the overall conversion plan, including the manual conversion, coordinating all conversion activities and supporting the State's manual conversion as necessary and implementing Uniform Client Identifiers (UCIs) for all records.

Sufficient converted data must be available for the unit test, system test, acceptance test, and pilot test. The data conversion software and procedures must be designed to be used during the phased rollout as well to do just-in-time conversion before an office goes on-line with the new SACWIS application. Data from the non-SIS applications must be available for use in the programming developed for Module 1 (Quality Assurance) and Module 2 (Safety, Risk and Screening). Complete conversion of SIS data will be required for use in the programming developed for Module 3 (Payments and Business).

Implementation Vendor tasks:

- Develop a comprehensive conversion plan

- Produce reports of likely duplicate cases and clients in SIS/Oracle download database

- Assign UCIs. If any other DHS agency has begun to assign UCIs, the Implementation Vendor will conform to that standard, and will match DYFS clients against existing UCIs to avoid assigning two UCIs to one client

- Develop and run legacy system downloads to feed to the data conversion software

- Develop and test the data conversion software

- Develop and test automated data cleanup software

- Run data conversion software for unit test, system test, acceptance test, pilot test, and phased rollout

- Determine with State assistance the legacy system source data fields and SACWIS target data fields for all legacy system data elements

- Identify "missing" data (data needed by SACWIS but unavailable from existing systems)

- Recommend procedures for handling missing data, data exceptions, and default values

- Recommend the method to combine multiple client records into one record

Implementation Vendor deliverables:

- Data Conversion Plan document, draft and final versions

- Data conversion specification documents for users and support staff

- Data conversion schedule

- Data conversion programs

- Data Conversion Materials

- Data conversion test plan

- Data conversion verification results

State tasks:

- Document legacy system coded fields, combinations of codes, and history of changes to codes

- Provide support to enable Implementation Vendor staff to write and execute data extract programs for legacy systems

- Approve procedures for handling missing data, data exceptions, and default values

- Approve the conditions when two or more clients are to be treated as one client

- Approve the proposed method to combine multiple client records into one record

- Determine the level of manual effort, and staff needed

- Verify correctness of data conversion software

- Perform manual data cleanup

- Perform any manual data entry

- Perform manual client merges

- Approve Data Conversion plan

- Approve data conversion specification documents

- Approve the data conversion process as complete

3.27.10.1   *Interfaces to Critical DHS and External Systems*

New Jersey's SACWIS will contain interfaces as specified in Section 3 – Scope of Work and the associated Appendix 1. For interfaces that currently exist to or from a legacy system, the input and output files will retain their layouts where practical. For new interfaces, the layout will be determined in cooperation with the interface partner. If an interface partner for a new interface outside DYFS does not participate, the interface will be built up to, but not into, the other system, and testing will be performed to the extent possible.

The initial build will address interfaces and/or data extracts with systems critical to DYFS functioning or to meet Federal mandates. These include interfaces with: the MMIS Shared Data Warehouse, the Partnership for Children, the Medicaid data set, the data required to determine Title IV-E eligibility requirements and docket numbers and other information on children in placement from the State Administrative Office of the Courts (AOC).

Implementation Vendor tasks:

- Design each interface

- Conduct Interface Walkthroughs

- Develop and test the interface software

- Develop and test the automatic job scheduling for the interfaces

- Recommend appropriate reporting tools

Implementation Vendor deliverables:

- Interface Design documents, including file layouts, processing, frequency, scheduling, handling of anomalies, and any other specifications. One document is required per interface in draft and final versions.

- Interface documentation for users and support staff

- Combined schedule of interfaces, draft and final versions

- Interface programs

- Interface test plans

- Interface verification results

State tasks:

- For existing interfaces, identify the legacy system data fields and logic used and the equivalent SACWIS data fields and logic needed with Implementation Vendor input

- For new interfaces, facilitate work with the interface partner to permit the Implementation Vendor to design the interface

- Approve procedures for handling missing data, data exceptions, and file transfer problems

- Approve appropriate ad hoc reporting tool

- Approve Implementation Vendor Interface Design documents

- Approve interface documentation for users and support staff prepared by the Implementation Vendor

- Approve a schedule of interfaces, draft and final versions

- Approve interface programs, interface test plans and interface verification results developed by the Implementation Vendor

3.27.10.2 Interfaces to Other DHS and External Systems

New Jersey's SACWIS will contain interfaces as specified in Section 3 – Scope of Work and the associated Appendix 1. For interfaces that currently exist to or from a legacy system, the input and output files will retain their layouts where practical. For new interfaces, the layout will be determined in cooperation with the interface partner. If an interface partner for a new interface outside DYFS does not participate, the interface will be built up to, but not into, the other system, and testing will be performed to the extent possible.

Implementation Vendor tasks:

- Design each interface

- Conduct Interface walkthroughs

- Develop and test the interface software

- Develop and test the automatic job scheduling for the interfaces

- Recommend appropriate reporting tools

Implementation Vendor deliverables:

- Interface Design documents, including file layouts, processing, frequency, scheduling, handling of anomalies, and any other specifications. One document is required per interface in draft and final versions.

- Interface documentation for users and support staff

- Combined schedule of interfaces, draft and final versions

- Interface programs

- Interface test plans

- Interface verification results

State tasks:

- For existing interfaces, identify the legacy system data fields and logic used and the equivalent SACWIS data fields and logic needed with Implementation Vendor input

- For new interfaces, facilitate work with the interface partner to permit the Implementation Vendor to design the interface

- Approve procedures for handling missing data, data exceptions, and file transfer problems

- Approve Implementation Vendor Interface Design documents

- Approve interface documentation for users and support staff prepared by the Implementation Vendor

- Approve a schedule of interfaces, draft and final versions

- Approve interface programs, interface test plans and interface verification results developed by the Implementation Vendor

3.27.11   Report Development

Data query, retrieval and reporting requirements will vary from accessing relatively small amounts of data very quickly to generating comprehensive reports utilizing large volumes of data. The Implementation Vendor must design and implement the database in a manner that allows full utilization of the database management system and installed software tools. The Implementation Vendor will also be required to provide a solution that makes all data contained in the database available to authorized State users or help desk staff through the use of the various software tools that provide the capability for ad hoc reporting and analysis.

Production Reports

The Implementation Vendor will provide an overview of the standard reports that will be available with the transfer SACWIS system and their applicability to DYFS business processes.

The State staff will identify the new and existing SIS and other legacy system production reports that are needed, and work with Implementation Vendor staff to determine the SACWIS equivalent. The State will review existing reports available with the transfer SACWIS, and select those that meet DYFS needs. The Implementation Vendor will modify these to meet production report standards.

In addition, the State will identify and the Implementation Vendor will create and deliver 90 new production reports.

All production reports will allow user-supplied selection when the report is run, such as a date range, geographical areas (statewide, region, county or office), or client characteristics.

All SACWIS production reports will be directly accessible from the SACWIS application. These reports will be developed in the reporting tool of the toolset used to develop the SACWIS application.

NCANDS and AFCARS Reporting

DYFS is required to submit extracts of the existing legacy data sets to comply with reporting requirements for the ACF AFCARS and NCANDS databases.

The Implementation vendor will develop a methodology to use the data collected through the SACWIS system to:

- Successfully submit AFCARS data from the State's SACWIS to the Federal AFCARS database

- Successfully submit NCANDS data from the State's SACWIS to the Federal NCANDS database

Implementation Vendor tasks:

- Conduct JAD sessions to determine requirements for production reports

- Modify the "transfer" reports to meet report standards

- Develop and test the new reports

- Develop and test the report scheduling, viewing, printing, and downloading capabilities

- Develop the mechanism to handle "runaway reports"

- Establish mechanism to ensure that production report generation does not impact system performance

- Develop, test, and submit on schedule the NCANDS and AFCARS data

Implementation Vendor deliverables:

- System design document for production report module, draft and final versions

- Test plan for production report module

- Test results for production report module

- Modify "transfer" production reports to meet standards

- 90 new production reports

- User documentation of each production report

- Cross-checking reports for each production report to clearly demonstrate that it is capturing the correct data

- Combined job schedule of production reports

State tasks:

- Approve the new production reports to be developed

- Approve a basic design and specification for each report

- Approve design standards for production reports with Implementation Vendor assistance and input

- For new production reports modeled on existing legacy system reports, approve the equivalent SACWIS data fields and logic needed with Implementation Vendor assistance and input

- Approve the Implementation Vendor's system design for production reporting module

- Approve reports in cooperation with the requesting staff

- Approve the scheduling of production reports that will be run regularly

- Approve the Implementation Vendor's system design for production reporting module

- Approve the production of useful ad hoc reports with the recommended reporting tool

3.27.12   *Documentation*

Technical system documentation, user documentation, user's quick reference guides, online help and other documentation required by ACF in the SARG must be developed by the Implementation Vendor. The State and the Implementation Vendor will agree to specific formats during project initiation. The Implementation Vendor will maintain the documentation to reflect the production release for the duration of the contract. The Implementation Vendor will use a documentation methodology to ensure consistency and quality.

Implementation Vendor deliverables:

- Documentation methodology document

- Complete system and user documentation, draft and final versions

- Online help facility

- Online policy facility

- User's Quick Reference Guides

- Documentation required by the SARG

State tasks:

- Supply policy document to be included in online policy facility

- Approve the Implementation Vendor's documentation methodology plan, draft and final versions of the system and user documentation, online help facility, online policy facility, User's Quick Reference Guides and documentation required by the SACWIS Assessment Review Guide

- Provide large volume reproduction of documentation as required

- Approve documentation methodology document

- Approve complete system and user documentation, draft and final versions

- Approve documentation required by the SARG

3.27.13 Training

The Implementation Vendor is responsible for all SACWIS user and technical training. Training curriculum and materials will be developed, and training will be delivered, as outlined in Section 3.

Implementation Vendor tasks:

- Develop Comprehensive Training Plan, draft and final, for system users and State technical staff

- Obtain and equip non-State training classrooms

- Prepare and deliver classroom training (overview, pre-implementation, implementation)

- Access training effectivness

Implementation Vendor deliverables:

- SACWIS curriculum and course materials (classroom, trainer support, and computer-based)

- Training plan and schedule, including provision for "just in time" training (i.e., provision of training within one month prior to the scheduled implementation of the SACWIS system within a DYFS office)

- Training database

State tasks:

- Approve curriculum plan, training plan and schedule, training database design and all other training materials

- Provide large volume reproduction and distribution of training materials

3.27.14 System Test

The Implementation Vendor will prepare a system test plan and test all aspects of the system, including expected and unexpected user interaction.

Each module will be required to undergo a system test cycle. A test environment will be established, including all modules of the SACWIS system, test data converted from the legacy systems and interfaces functional to the extent practicable or simulated. The Implementation Vendor will prepare and conduct a performance test plan employing system and network monitoring software, and system load simulation software. The test plan must utilize full size databases, and increasing numbers of users and increasing activity levels. The system test will continue until performance measures established in the RFP (reference Section 3.4) are met, and are expected to be met under full operational conditions.

Implementation Vendor tasks:

- Establish the test environment

- Design and conduct system testing. Each module will be tested as it is readied. The compatibility of all modules for the entire system will also be tested when all modules have been completed.

- Migrate the system to the most current production version of all underlying software, tools, and databases, unless the State agrees to an exception. The current production release will be judged as of the first day of the system test.

- Correct problems, repeat unit test and system test

- Design and conduct performance testing

- Identify/correct problems, repeat performance test

- Document system and performance test results

Implementation Vendor deliverables:

- System test plan

- Performance test plan

- System test results report

- Performance test results report

State tasks:

- Approve the Implementation Vendor:
  - System test plan
  - Performance test plan
  - System test results
  - Performance test results

3.27.15 *Acceptance Test*

Each module will be required to undergo an acceptance test cycle. An Acceptance Test Team composed of State management and users from different functional areas (Steering Committee, super-users) and the VV&T Contractor will conduct the Acceptance Test. As with system testing, the Acceptance Test will evaluate SACWIS as an integrated whole. The Acceptance Test will include all activities to take place during the actual implementation.

The test will verify the following:

- All functional aspects of the system, including workflow components, will be tested as each module is readied. The workflow for the entire system will also be tested when all modules have been completed.

- There are no critical and high priority defects existing in the software.

- Installation of software

- Conversion of legacy data and manual data

- Completeness and accuracy of system documentation

- Effectiveness of training methods and materials

- Response time and overall system performance

- System hardware, software and telecommunications performance

- System, data and application security

- Accuracy/performance of system interfaces

The Acceptance Test will be conducted upon successful completion of the System Test task and agreement by the State's project management team and the VV&T Contractor that the system is ready for Acceptance Testing. As problems are discovered they will be evaluated, estimated and documented. Necessary modifications will be made to software, documentation and training materials consistent with the Detailed System Design Document and other deliverable acceptance criteria.

Implementation Vendor tasks:

- Develop Acceptance Test plan

- Supply training needed for Acceptance Test

- Set up for Acceptance Test

- Support during Acceptance Test

- Documentation and correction of problems

Implementation Vendor deliverables:

- Acceptance Test plan

- Acceptance Test Analysis Report

- System ready for pilot test

State tasks:

- Approve the Acceptance Test plan

- Execute Acceptance Test plan iteratively

- Provide support during Acceptance Test

- Approve documentation and correction of problems

- Approve Acceptance Test Analysis Report

3.27.16   Pilot Test

Each module will be required to undergo a pilot test cycle. The Implementation Vendor, the State's project management team and the VV&T Contractor will conduct a comprehensive test of the new SACWIS system working with the chosen pilot sites. The pilot test is the first opportunity to demonstrate full system functionality in a live setting, validate the training, the success of conversion, the efficiency of new procedures and workflows, and overcome any objections to the system.

Implementation Vendor tasks:

- Develop pilot test plan

- Provide training needed for pilot test

- Set up for pilot test

- Support during pilot test. Each module will be pilot tested as each module is readied. The entire system will also be pilot tested when all modules have been completed.

- Create and staff SACWIS help desk

- Documentation and correction of problems

Implementation Vendor deliverables:

- Pilot Test Plan

- Pilot Test Analysis Report

- System ready for rollout

- SACWIS Help Desk

State tasks:

- Approve pilot test plan

- Select pilot test sites

- Execute pilot test plan

- Approve Implementation Vendor Pilot Test Analysis Report

3.27.17 Statewide Implementation

The Implementation Vendor will be responsible for the rollout and implementation of SACWIS. The Implementation Vendor will provide system support, help desk support, system maintenance, and corrective actions during the rollout and for the duration of the contract. At the conclusion of the rollout and again at the end of the contract, the Implementation Vendor will certify that the system is fully implemented and operational.

As each module is completed, the Implementation Vendor will allocate a certain percentage of vendor staff (testers and developers) to support completed modules once they are deployed prior to full statewide implementation and deployment.

Implementation Vendor tasks:

- Rollout plan, draft and final

- Training needed for rollout

- Set up for rollout

- Support during rollout

- Documentation and correction of problems

Implementation Vendor deliverables:

- Implementation Plan and schedule

- Implementation analysis report

- System performance reports

State tasks:

- Approve the statewide implementation plan developed by the Implementation Vendor to ensure that implementation occurs in the correct sequence

- Determine the most appropriate sequence for SACWIS implementation in district offices, adoption resource centers, central and regional office units and other locations.

- Approve the implementation analysis report prepared by the Implementation Vendor

- Approve the system performance report prepared by the Implementation Vendor

3.27.18 Post Implementation Support

Following the implementation of the SACWIS system, the State, the Implementation Vendor and the VV&T Contractor will review the performance of the system and identify required fixes and enhancements. This review will include examination of the:

- Weekly and quarterly reports submitted by the Implementation Vendor

- VV&T Contractor's quality assurance monitoring reports

- Unit and system tests

- Feedback from Help Desk and DYFS staff

- Performance of interfaces

- Performance of report generating programming including AFCARS and NCANDS reports and data sets submitted to the ACF

- Operation of the on-line policy manual system, including the ability to update and amend policy

Differences concerning what constitutes a necessary fix versus what is an enhancement will be resolved based upon a review of New Jersey's published SACWIS requirements and the use of the conflict resolution procedures established at the project initiation phase.

Prioritization of fixes and enhancements will be the responsibility of the State, with input from the Implementation Vendor, State Lead Technical Manager, VV&T Contractor and ACF.

The Implementation Vendor will continue to maintain on-site support for the duration of the contract, including regular releases for problem fixes and enhancements. At the end of the contract, the Implementation Vendor must support a smooth transition of programs, knowledge, data, and procedures to operation by the State or to a vendor chosen by the State, including developing and carrying out a system turnover plan.

Implementation Vendor tasks:

- Help desk support

- Provide estimates of cost and effort for fixes and enhancements

- Correction of problems

- System Enhancements

- Technical training of State OIT and DHS OIS technical staff, formal and on-the-job

- Recommend priority for fixes and enhancements

Implementation Vendor deliverables:

- Regular releases

- Operations documentation

- Turnover plan, draft and final, including
    - Turnover schedule

    - List of all software used to operate the system

    - Current copy of all source program code

    - Statement of staffing and hardware resources required to operate the system

    - Training turnover plan

    - Help desk turnover plan

    - Current system and user documentation, and current training curriculum

    - Inventory of all work in progress

    - Inventory of all equipment and software to be turned over

    - Status of any outstanding problems and recommendations for system enhancements

    - Turnover results report

State tasks:

- Prioritize fixes and enhancements

- Approve fixes and enhancements

- Approve Implementation Vendor system documentation, and turnover plans

- Approve Implementation Vendor reports concerning the performance of enhancements

- Approve any additional APDUs to acquire required funding for enhancements

- Approve all final Implementation Vendor deliverables

4.0   PROPOSAL PREPARATION AND SUBMISSION

4.1   GENERAL

The bidder must follow instructions contained in this RFP and in the bid cover sheet in preparing and submitting its bid proposal. The bidder is advised to thoroughly read and follow all instructions.

The information required to be submitted in this RFP has been determined to be essential in the bid evaluation and contract award process. Any qualifying statements made by the bidder to the RFP's requirements could result in a determination that the bidder's proposal is materially non-responsive. Each bidder is given wide latitude in the degree of detail it may offer or the extent to which plans, designs, systems, processes and procedures are revealed. Each bidder is cautioned, however, that insufficient detail may result in a determination that the bid proposal is materially non-responsive or, in the alternative, may result in a low technical score being given to the bid proposal.

4.2   PROPOSAL DELIVERY AND IDENTIFICATION

In order to be considered, a bid proposal must arrive at the Purchase Bureau in accordance with the instructions on the RFP cover sheet. Bidders submitting proposals are cautioned to allow adequate delivery time to ensure timely delivery of proposals. State regulation mandates that late proposals are ineligible for consideration. The exterior of all bid response packages must be labeled with the bid identification number, final bid opening date and the buyer's name. All of this information is set forth at the top of the RFP cover sheet.

4.3   NUMBER OF BID PROPOSAL COPIES

Each bidder must submit one (1) complete ORIGINAL bid proposal, clearly marked as the "ORIGINAL" bid proposal. Each bidder must submit fifteen (15) full, complete and exact copies of the original. The copies required are necessary in the evaluation of your bid. Bidders failing to provide the required number of copies will be charged the cost incurred by the State in producing the required number of copies. It is suggested that the bidder makes and retains a copy of its bid proposal.

4.4   PROPOSAL CONTENT

The proposal should be submitted in one volume and that volume divided into four (4) sections as described below. The bidder must reference the correlating RFP section/subsection number to their responses throughout their proposal.

4.4.1   Section 1 - Forms

4.4.1.1   Ownership Disclosure Form

In the event the bidder is a corporation or partnership, the bidder must complete the attached Ownership Disclosure Form. A completed Ownership Disclosure Form must be received prior to or accompanying the bid. Failure to do so will preclude the award of the contract.

4.4.1.2   MacBride Principles Certification

The bidder must complete the attached MacBride Principles Certification evidencing compliance with the MacBride Principles. Failure to do so may result in the award of the contract to another vendor.

4.4.1.3   Affirmative Action

The bidder must complete the attached Affirmative Action Employee Information A report, or, in the alternative, supply either a New Jersey Affirmative Action Certificate or evidence that the bidder is operating under a Federally approved or sanctioned affirmative action program. The requirement is a precondition to entering into a valid and binding contract.

4.4.1.4   Set-Aside Contracts

Not applicable to this procurement

4.4.1.5   Bid Bond

Not applicable to this procurement.

4.4.2   Section 2 - Technical Proposal

This Section shall clearly describe the bidder's approach and plans for accomplishing the work outlined in the Scope of Work Section, i.e., Section 3.0. The bidder must set forth its understanding of the requirements of this RFP and its ability to successfully complete the contract. As a part of their Technical Proposal, the bidder will use the requirements document contained in Appendix 1 to create a requirements matrix. This matrix will list each State SACWIS requirement and a specific cross-reference to the page and section of the bidder's proposal where that requirement is addressed. This Section of the proposal shall contain at least the following information:

4.4.2.1   Management Overview

The bidder shall set forth its overall technical approach and plans to meet the requirements of the RFP in a narrative format. This narrative should convince the State that the bidder understands the objectives that the contract is intended to meet, the nature of the required work and the level of effort necessary to successfully complete the contract. This narrative should convince the State that the bidder's general approach and plans to undertake and complete the contract are appropriate to the tasks and subtasks involved.

Mere reiterations of RFP tasks and subtasks are strongly discouraged, as they do not provide insight into the bidder's ability to complete the contract. The bidder's response to this section should be designed to convince the State that the bidder's detailed plans and approach proposed to complete the Scope of Work are realistic, attainable and appropriate and that the bidder's proposal will lead to successful contract completion.

4.4.2.2   Contract Management

The bidder should describe its specific plans to manage, control and supervise the contract to ensure satisfactory contract completion according to the required schedule. The plan should include the bidder's approach to communicate with the State Contract Manager including, but not limited to, status meetings, status reports, etc.

4.4.2.3   Contract Schedule

The bidder should include a contract schedule. If key dates are a part of this RFP, the bidder's schedule should incorporate such key dates and should identify the completion date for each task and sub-task

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required by the Scope of Work. Such schedule should also identify the associated deliverable item(s) to be submitted as evidence of completion of each task and/or subtask.

4.4.2.4   Mobilization And Implementation Plan

(a) A detailed timetable for the mobilization and implementation period of thirty (30) days. This timetable should be designed to demonstrate how the bidder will have the contract up and operational within the period of thirty (30) days from the date of notification of award.

(b) The bidder's plan for the deployment and use of management, supervisory or other key personnel during the mobilization and implementation period. The plan should show all management, supervisory and key personnel that will be assigned to manage, supervise and monitor the bidder's mobilization and implementation of the contract within the period of thirty (30) days from the date of notification of award.

NOTE: The bidder should clearly identify management, supervisory or other key staff that will be assigned only during the mobilization and implementation period.

The bidder's plan for recruitment of staff required to provide all services required by the RFP on the contract start date at the end of the mobilization and implementation period covering thirty (30) days from the date of notification of award.

The bidder should submit a plan for the purchase and distribution of equipment, inventory, supplies, materials, etc. that will be required to fully implement the contract on the required start date.

The bidder should submit a plan for the use of subcontractor(s), on this contract. Emphasis should be on how any subcontractor identified will be involved in the mobilization and implementation plan.

4.4.2.5   Potential Problems

The bidder should set forth a summary of problems that the bidder anticipates during the term of the contract. For each problem identified, the bidder should provide its proposed solution.

4.4.3   Section 3 - Organizational Support and Experience

The bidder should include information relating to its organization, personnel, and experience, including, but not limited to, references, together with contact names and telephone numbers, evidencing the bidder's qualifications, and capabilities to perform the services required by this RFP. Refer to Appendix 3 - Contractor Experience and Expertise, for staffing functions and qualifications. Bid proposals will be evaluated in terms of compliance with preferred qualifications enumerated in the Appendix.

4.4.3.1   Location

The bidder should include the location of the bidder's office that will be responsible for managing the contract. The bidder should include the telephone number and name of the individual to contact.

4.4.3.2   Organization Chart {Contract Specific}

The bidder should include a contract organization chart, with names showing management, supervisory and other key personnel (including subcontractor's management, supervisory or other key personnel) to be assigned to the contract. The chart should include the labor category and title of each such individual.

4.4.4.3   Resumes

Detailed resumes should be submitted for all management, supervisory and key personnel to be assigned to the contract. Resumes should be structured to emphasize relevant qualifications and experience of these individuals in successfully completing contracts of a similar size and scope to those required by this RFP. Resumes should clearly identify previous experience in completing similar contracts. Beginning and ending dates should be given for each similar contract. A description of the contract should be given and should demonstrate how the individual's work on the completed contract relates to the individual's ability to contribute in successfully providing the services required by this RFP. With respect to each similar contract, the bidder should include the name and address of each reference together with a person to contact for a reference check and a telephone number.

In the event the bidder must hire or otherwise engage management, supervisory and/or key personnel if awarded the contract, the bidder should include a recruitment plan for such personnel. Such recruitment plan should demonstrate that the bidder will be able to initiate and complete the contract within the time frame required by this RFP.

4.4.3.4   Backup Staff

The bidder should include a list of backup staff that may be called upon to assist or replace primary individuals assigned. Backup staff must be clearly identified as backup staff.

In the event the bidder must hire management, supervisory and/or key personnel if awarded the contract, the bidder should include, as part of its recruitment plan, a plan to secure backup staff in the event personnel initially recruited need assistance or must be replaced during the contract term.

4.4.3.5   Organization Chart {Entire Firm}

The bidder should include an organization chart showing the bidder's entire organizational structure. This chart should show the relationship of the individuals assigned the contract to the bidder's overall organizational structure.

4.4.3.6   Experience of Bidder on Contracts of Similar Size and Scope

The bidder should provide a comprehensive listing of contracts of similar size and scope that it has successfully completed, as evidence of the bidder's ability to successfully complete the services required by this RFP. Emphasis should be placed on contracts that are similar in size and scope to the services and products required by this RFP. A description of all such contracts should be included and should show how such contracts relate to the ability of the firm to complete the services required by this RFP. For each such contract, the bidder should provide the name and telephone number of a contact person for the other contract party. Beginning and ending dates should also be given for each contract. A minimum of four such references shall be provided.

4.4.3.7   Financial Capability of the Bidder

The bidder shall provide proof of its financial capacity and capabilities to undertake and successfully complete the contract. To satisfy this requirement, the bidder shall submit a certified financial statement, including applicable notes, reflecting the bidder's assets, liabilities, net worth, revenues, expenses, profit or loss, and cash flow for the most recent calendar year or the bidder's most recent fiscal year; or, if a certified financial statement is not available, then either a reviewed or compiled statement from an independent accountant setting forth the same information required for the certified financial statement. In addition, the

bidder must submit a bank reference.

4.4.3.8 Subcontractor(s)

4.4.3.8.1 Should the bidder propose to utilize a subcontractor(s) to fulfill any of its obligations, the bidder shall be responsible for the subcontractor's (s'): (a) performance; (b) compliance with all of the terms and conditions of the contract; and (c) compliance with the requirements of all applicable laws.

4.4.3.8.2 The bidder must provide a detailed description of services to be provided by the subcontractor, referencing the applicable Section or Subsection of this RFP.

4.4.3.8.3 The bidder should provide detailed resumes for the subcontractor's management, supervisory and other key personnel that demonstrate knowledge, ability and experience relevant to that part of the work that the subcontractor is designated to perform.

4.4.3.8.4 The bidder should provide documented experience that demonstrate that each subcontractor has successfully performed work on contracts of a similar size and scope to the work that the subcontractor is designated to perform in the bidder's proposal.

4.4.4 Section 4 – Cost Proposal

The bidder must submit all requested pricing information. Failure to submit all requested pricing information may result in the bidder's proposal being considered materially non-responsive. Each bidder must hold its price(s) firm through the completion of the contract award process. The bidder must complete all pricelines.

5.0 CONTRACTUAL TERMS AND CONDITIONS

5.1 PRECEDENCE OF CONTRACTUAL TERMS AND CONDITIONS

The contract shall consist of this RFP, addendum to this RFP and the contractor's bid proposal, and the Division's Notice of Acceptance.

Unless specifically noted within this RFP, the Standard Terms and Conditions take precedence over the Contractual Terms and Conditions.

In the event of a conflict between the provisions of this RFP, including the Standard Terms and Conditions and the Contractual Terms and Conditions, and any addendum to the RFP, the addendum shall govern.

In the event of a conflict between the provisions of this RFP, including any addendum to this RFP, and the bidder's proposal, the RFP and/or the addendum shall govern.

5.2 PERFORMANCE BOND

This section is not applicable for this procurement.

5.3 BUSINESS REGISTRATION

Business Registration - See Standard Terms and Conditions, Section 1.1.

5.4 CONTRACT TERM AND EXTENSION OPTION

The term of the contract shall be for a period of 48 (forty-eight) months. The anticipated "Contract Effective Date" is provided on the cover sheet of this RFP. If delays in the bid process result in an adjustment of the anticipated Contract Effective Date, the bidder agrees to accept a contract for the full term of the contract. The contract may be extended for two (2) additional terms of twelve (12) months (for a maximum total extension of 24 months), by mutual written consent of the contractor and the Director.

5.5   CONTRACT TRANSITION

In the event services end by either contract expiration or termination, it shall be incumbent upon the contractor to continue services, if requested by the Director, until new services can be completely operational. The contractor acknowledges its responsibility to cooperate fully with the replacement contractor and the State to ensure a smooth and timely transition to the replacement contractor. Such transitional period shall not extend more than ninety (90) days beyond the expiration date of the contract, or any extension thereof. The contractor will be reimbursed for services during the transitional period at the rate in effect when the transitional period clause is invoked by the State.

5.6   AVAILABILITY OF FUNDS

The State's obligation to pay the contractor is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the State for payment of any money shall arise unless funds are made available each fiscal year to the Using Agency by the State Legislature.

5.7   CONTRACT AMENDMENT

Any changes or modifications to the terms of the contract shall only be valid when they have been reduced to writing and executed by the contractor and the Director.

5.8   CONTRACTOR RESPONSIBILITIES

The contractor shall have sole responsibility for the complete effort specified in the contract. Payment will be made only to the contractor. The contractor shall have sole responsibility for all payments due any subcontractor.

The contractor is responsible for the professional quality, technical accuracy and timely completion and submission of all deliverables, services or commodities required to be provided under the contract. The contractor shall, without additional compensation, correct or revise any errors, omissions, or other deficiencies in its deliverables and other services. The approval of deliverables furnished under this contract shall not in any way relieve the contractor of responsibility for the technical adequacy of its work. The review, approval, acceptance or payment for any of the services shall not be construed as a waiver of any rights that the State may have arising out of the contractor's performance of this contract.

5.9   SUBSTITUTION OF STAFF

If it becomes necessary for the contractor to substitute any management, supervisory or key personnel, the contractor will identify the substitute personnel and the work to be performed.

The contractor must provide detailed justification documenting the necessity for the substitution. Resumes must be submitted evidencing that the individual(s) proposed as substitution(s) have qualifications and experience equal to or better than the individual(s) originally proposed or currently assigned.

The contractor shall forward a request to substitute staff to the State's Contract Manager for consideration and approval. No substitute personnel are authorized to begin work until the contractor has received written approval to proceed from the State Contract Manager.

5.10   SUBSTITUTION OR ADDITION OF SUBCONTRACTOR(S)

This Subsection serves to supplement but not to supersede Section 3.11 of the Standard Terms and Conditions of this RFP.

If it becomes necessary for the contractor to substitute and/or add a subcontractor, the contractor will identify the proposed new subcontractor and the work to be performed. The contractor must provide detailed justification documenting the necessity for the substitution or addition.

The contractor must provide detailed resumes of the proposed subcontractor's management, supervisory and other key personnel that demonstrate knowledge, ability and experience relevant to that part of the work which the subcontractor is to undertake.

In the event a subcontractor is proposed as a substitution, the proposed subcontractor must equal or exceed the qualifications and experience of the subcontractor being replaced. In the event the subcontractor is proposed as an addition, the proposed subcontractor's qualifications and experience must equal or exceed that of similar personnel proposed by the contractor in its bid proposal.

The contractor shall forward a written request to substitute or add a subcontractor to the State Contract Manager for consideration. If the State Contract Manager approves the request, the State Contract Manager will forward the request to the Director for final approval.

No substituted or additional subcontractors are authorized to begin work until the contractor has received written approval to proceed from the Director.

5.11   OWNERSHIP OF MATERIAL

All data, technical information, materials gathered, originated, developed, prepared, used or obtained in the performance of the contract, including, but not limited to, all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video and/or audio), pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and print-outs, notes and memoranda, written procedures and documents, regardless of the state of completion, which are prepared for or are a result of the services required under this contract shall be and remain the property of the State of New Jersey and shall be delivered to the State of New Jersey upon 30 days notice by the State. With respect to software computer programs and source codes developed for the State, the work shall be considered "work for hire"; i.e., the State, not the contractor or subcontractor, shall have full and complete ownership of all software computer programs and/or source codes developed.

To the extent that any of such materials may not, by operation of law, be a work made for hire in accordance with the terms of this Agreement, contractor or subcontractor hereby assigns to the State all right, title and interest in and to such material, and the State shall have the right to obtain and hold in its own name any copyrights, registrations and any other proprietary rights that may be available.

The State and Federal governments shall have a perpetual, nonexclusive, paid up, irrevocable, worldwide right and license to use any proprietary software that is part of the system. The Contractor must identify any proprietary software that is part of its proposal. With respect to intellectual property rights in Contract

deliverables derived from modifications or customizations to the Contractor's or a subcontractor's pre-existing work, i.e., "derivative works", the Contractor or subcontractor shall have and retain all ownership in and to such derivative works subject to the following:

Upon written acceptance by the State of any module that the derivative work is part, the State and Federal government shall be granted by the Contractor or the subcontractor having ownership in the derivative work a perpetual, nonexclusive, paid up, irrevocable, worldwide right and license to use such derivative work for any State or Federal purpose, whatsoever.

As part of the State and Federal perpetual license, both entities shall, at its sole option, receive upgrades and support free of charge.

The Contractor or subcontractor, as the case may be, is subject to an Escrow Agreement in which the Contractor or subcontractor and the State will establish an escrow with an independent agent or the State may act in its sole option as its own escrow agent, who will provide for the retention, administration, and controlled access of the original and derivative work. Any fees associated with the deposit of proprietary software with an independent agent shall be the Contractor's sole responsibility. This agreement shall be supplementary to all license agreements and shall be subject to the review and approval by the State.

Under the following circumstances or events of default, the State shall automatically be permitted access to the source code of any proprietary software and/or derivative work of the Contractors and/or subcontractors:

- Contractor/subcontractor becomes insolvent or generally fails to pay, or admits in writing its inability to pay its debts as they become due; or

- Contractor/subcontractor applies for or consents to the appointment of a trustee, receiver or other custodian for Contractor, or makes a general assignment for the benefit of its creditors; or

- Any bankruptcy, reorganization, debt arrangement, or other case or proceeding under any bankruptcy or insolvency law, or any dissolution or liquidation proceedings commenced by or against Contractor/subcontractor, and if such case or proceeding is not commenced by Contractor/subcontractor, it is acquiesced in or remains undismissed for sixty days (60) days; or

- Contractor/subcontractor ceases to do business, and/or ceases to perform, support and maintain the licensed system, the Escrow Agreement or any other applicable agreement with Licensee or the State; or

- The Contract is terminated for any reason, prior to the normal expiration dates as are set forth in the Contract; or the portion of the Contract pertaining to the operation and maintenance is terminated for any reason; or

- The Contractor fails to pay any fee of the Escrow Agent; or

- Contractor/subcontractor takes any corporate or other action to authorize or in furtherance of any of the foregoing.

Contractor/subcontractor grants the State, their successors and assigns, an irrevocable, nonexclusive, paid-up right and license to use, execute, reproduce, display, perform, maintain, support, upgrade and modify the license system, and distribute the same internally, and to prepare derivative works based on the licensed

system, exclusively for the operation of the SACWIS or what is otherwise necessary for the fulfillment of licensee's obligation under its Contract or subcontract, following the occurrence of an Event of Default. Licensee or the State may engage the services of third parties to enable their access to the benefits of the license granted herein. The provisions of the Section shall survive the termination of this Escrow Agreement following the occurrence of an Event of Default.

The Contractor shall include this Section in its entirety as part of all subcontracts entered into in furtherance of the Contractor's obligations hereunder.

The United States Department of Health and Human Services is granted a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use to authorize others to use for **Federal** Government purposes, such software, modifications and documentation.

The implementation vendor will grant the United States Department of Health and Human Services unrestricted access to any systems documentation and records related to New Jersey's SACWIS project in accordance with Federal requirements at 45 CFR 74.53.

5.12   DATA CONFIDENTIALITY

All financial, statistical, personnel and/or technical data supplied by the State to the contractor are confidential. The contractor is required to use reasonable care to protect the confidentiality of such data. Any use, sale or offering of this data in any form by the contractor, or any individual or entity in the contractor's charge or employ, will be considered a violation of this contract and may result in contract termination and the contractor's suspension or debarment from State contracting. In addition, such conduct may be reported to the State Attorney General for possible criminal prosecution.

DYFS is required to adhere to specific confidentiality parameters. To assure contractor and contractor employee/subcontractor compliance with these parameters, each individual must sign the DYFS Confidentiality Agreement (Appendix 7) prior to beginning work on the subject project.

5.13   NEWS RELEASES

The contractor is not permitted to issue news releases pertaining to any aspect of the services being provided under this contract without the prior written consent of the Director.

5.14   ADVERTISING

The contractor shall not use the State's name, logos, images, or any data or results arising from this contract as a part of any commercial advertising without first obtaining the prior written consent of the Director.

5.15   LICENSES AND PERMITS

The contractor shall obtain and maintain in full force and effect all required licenses, permits, and authorizations necessary to perform this contract. The contractor shall supply the State's Contract Manager with evidence of all such licenses, permits and authorizations. This evidence shall be submitted subsequent to the contract award. All costs associated with any such licenses, permits and authorizations must be considered by the bidder in its bid proposal.

5.16   CLAIMS AND REMEDIES

5.16.1 *Claims*

All claims asserted against the State by the contractor shall be subject to the New Jersey Tort Claims Act, N.J.S.A. 59:1-1, et seq., and/or the New Jersey Contractual Liability Act, N.J.S.A. 59:13-1, et seq.

5.16.2 *Remedies*

Nothing in the contract shall be construed to be a waiver by the State of any warranty, expressed or implied, or any remedy at law or equity, except as specifically and expressly stated in a writing executed by the Director.

5.16.3 *Remedies for Non-Performance*

In the event that the contractor fails to comply with any material contract requirement, the Director may take steps to terminate the contract in accordance with the State administrative code. In this event, the Director may authorize the delivery of contract services by any available means, with the difference between the price paid and the defaulting contractor's price either being deducted from any monies due the defaulting contractor or being an obligation owed the State by the defaulting contractor.

5.17 LATE DELIVERY

Not applicable to this procurement.

5.18 RETAINAGE

The amount of retainage is noted on the RFP cover sheet. The Using Agency shall retain the stated percentage of each invoice submitted. At the end of each three (3) month period, the Using Agency shall review the contractor's performance. If performance has been satisfactory and all deliverables received, the Using Agency shall release 90% of the retainage for the preceding three (3) month period. Following certification by the State Contract Manager that all services and deliverables required under this contract, have been satisfactorily performed, the balance of the retainage shall be released to the contractor.

5.19 STATE'S OPTION TO REDUCE SCOPE OF WORK

The State has the option, in its sole discretion, to reduce the scope of work for any task or subtask called for under this contract. In such an event, the Director shall provide advance written notice to the contractor.

Upon receipt of such written notice, the contractor will submit, within five (5) working days to the Director and the State Contract Manager, an itemization of the work effort already completed by task or subtask. The contractor shall be compensated for such work effort according to the applicable portions of its cost proposal.

5.20 SUSPENSION OF WORK

The State Contract Manager may, for valid reason, issue a stop order directing the contractor to suspend work under the contract for a specific time. The contractor shall be paid until the effective date of the stop order. The contractor shall resume work upon the date specified in the stop order, or upon such other date as the State Contract Manager may thereafter direct in writing. The period of suspension shall be deemed added to the contractor's approved schedule of performance. The Director and the contractor shall negotiate an equitable adjustment, if any, to the contract price.

5.21   CHANGE IN LAW

Whenever an unforeseen change in applicable State law or regulation affects the services that are the subject of this contract, the contractor shall advise the State Contract Manager and the Director in writing and include in such written transmittal any estimated increase or decrease in the cost of its performance of the services as a result of such change in law or regulation. The Director and the contractor shall negotiate an equitable adjustment to the contract price.

5.22   ADDITIONAL WORK AND/OR SPECIAL PROJECTS

The contractor shall not begin performing any additional work or special projects without first obtaining written approval from both the State Contract Manager and the Director.

In the event of additional work and/or special projects, the contractor must present a written proposal to perform the additional work to the State Contract Manager. The proposal should provide justification for the necessity of the additional work. The relationship between the additional work and the base contract work must be clearly established by the contractor in its proposal.

The contractor's written proposal must provide a detailed description of the work to be performed broken down by task and subtask. The proposal should also contain details on the level of effort, including hours, labor categories, etc., necessary to complete the additional work.

The written proposal must detail the cost necessary to complete the additional work in a manner consistent with the contract. The written cost proposal must be based upon the hourly rates, unit costs or other cost elements submitted by the contractor in the contractor's original bid proposal submitted in response to this RFP. Whenever possible, the cost proposal should be a firm, fixed cost to perform the required work.

The firm fixed price should specifically reference and be tied directly to costs submitted by the contractor in its original bid proposal. A payment schedule, tied to successful completion of tasks and subtasks, must be included.

Upon receipt and approval of the contractor's written proposal, the State Contract Manager shall forward same to the Director for the Director's written approval. Complete documentation from the Using Agency, confirming the need for the additional work, must be submitted. Documentation forwarded by the State Contract Manager to the Director must include all other required State approvals, such as those that may be required from the State of New Jersey's Office of Management and Budget (OMB) and Office of Information and Technology (OIT).

No additional work and/or special project may commence without the Director's written approval. In the event the contractor proceeds with additional work and/or special projects without the Director's written approval, it shall be at the contractor's sole risk. The State shall be under no obligation to pay for work done without the Director's written approval.

5.23   FORM OF COMPENSATION AND PAYMENT

This Section supplements Section 4.5 of the RFP's Standard Terms and Conditions. The contractor must submit official State invoice forms to the Using Agency with supporting documentation evidencing that work for which payment is sought has been satisfactorily completed. Invoices must reference the tasks or subtasks detailed in the Scope of Work section of the RFP and must be in strict accordance with the firm, fixed prices submitted for each task or subtask on the RFP pricing sheets. When applicable, invoices should

reference the appropriate RFP price sheet line number from the contractor's bid proposal. The State Contract Manager must approve all invoices, with the endorsement of the Assistant Commissioner, DHS before payment will be authorized.

Invoices must also be submitted for any special projects, additional work or other items properly authorized and satisfactorily completed under the contract. Invoices shall be submitted according to the payment schedule agreed upon when the work was authorized and approved. Payment can only be made for work when it has received all required written approvals and has been satisfactorily completed.

5.24 SUBSTITUTION OF SECTION 2.2 LANGUAGE OF THE STATE'S STANDARD TERMS AND CONDITIONS.

The contractor's liability to the State for actual, direct damages resulting from the contractor's performance or non-performance, or in any manner related to the contract, for any and all claims, shall be limited in the aggregate to 500% of the value of the contract, except that such limitation of liability shall not apply to the following:

1. The contractor's obligation to indemnify the State of New Jersey and its employees from and against any claim, demand, loss, damage or expense relating to bodily injury or the death of any person or damage to real property or tangible personal property, incurred from the work or materials supplied by the contractor under the contract caused by negligence or willful misconduct of the contractor;

2. The contractor's breach of its obligations of confidentiality; and,

3. Contractor's liability with respect to copyright indemnification.

The contractor's indemnification obligation is not limited by but is in addition to the insurance obligations contained in Section 2.3 of the Standard Terms and Conditions.

The contractor shall not be liable for special, consequential, or incidental damages.

6.0 PROPOSAL EVALUATION/CONTRACT AWARD

6.1 PROPOSAL EVALUATION COMMITTEE

Proposals may be evaluated by an Evaluation Committee composed of members of affected departments and agencies together with representative(s) from the Purchase Bureau. Representatives from other governmental agencies may also serve on the Evaluation Committee. On occasion, the Evaluation Committee may choose to make use of the expertise of outside consultants in an advisory role.

6.2 ORAL PRESENTATION AND/OR CLARIFICATION OF PROPOSAL

A bidder may be required to give an oral presentation to the Evaluation Committee concerning its bid proposal. The Evaluation Committee may also require a bidder to submit written responses to questions regarding its proposal.

The purpose of such communication with a bidder, either through an oral presentation or a letter of clarification, is to provide an opportunity for the bidder to clarify or elaborate on its bid proposal. Original bid proposals submitted, however, cannot be supplemented, changed, or corrected in any way. No comments regarding other bid proposals are permitted. Bidders may not attend presentations made by their competitors.

It is within the Evaluation Committee's discretion whether to require a bidder to give an oral presentation or require a bidder to submit written responses to questions regarding its proposal. Action by the Evaluation Committee in this regard should not be construed to imply acceptance or rejection of a proposal. The Purchase Bureau buyer will be the sole point of contact regarding any request for an oral presentation or clarification.

6.3   EVALUATION CRITERIA

The following evaluation criteria categories, not necessarily listed in order of significance, will be used to evaluate bid proposals received in response to this RFP. The evaluation criteria categories may be used to develop more detailed evaluation criteria to be used in the evaluation process:

6.3.1 The bidder's approach to meeting the functional and programmatic requirements of the RFP.

6.3.2 The bidder's approach to meeting the technical requirements of this RFP.

6.3.3 The bidder's approach to project management of the SACWIS project.

6.3.4 The bidder's documented experience in successfully completing projects of a similar size and scope as required by the RFP.

6.3.5 The number, qualifications and experience of the bidder's proposed SACWIS project team.

6.3.6 The bidder's size, organizational resources and financial strength as indications of the bidder's overall ability to undertake and successfully complete the SACWIS.

6.3.7 The bidder's cost proposal.

6.4   CONTRACT AWARD

The contract shall be awarded with reasonable promptness by written notice to that responsible bidder whose bid, conforming to the invitation for bids, will be most advantageous to the State, price and other factors considered. Any or all bids may be rejected when the State Treasurer or the Director of the Division of Purchase and Property determines that it is in the public interest so to do.

7.0   BIDDER DATA SHEETS BIDDER(S)' CAPABILITIES, ORGANIZATIONAL SUPPORT AND EXPERIENCE/TECHNICAL PROPOSAL

Not applicable to this procurement.

8.0   PRICE SHEET AND SUPPORTING DETAIL

Complete each price line. For an explanation of the price lines refer to Appendix 8.

9.0 LIST OF EXHIBITS/ATTACHMENTS

APPENDIX 1 - REQUIREMENTS

APPENDIX 2 – DYFS AND SACWIS: BACKGROUND INFORMATION

APPENDIX 3 - CONTRACTOR EXPERIENCE AND EXPERTISE

APPENDIX 4 – PROJECT MANAGEMENT STRUCTURE

APPENDIX 5 – INTERFACE DETAILS

APPENDIX 6 - SAMPLE ASSESSMENTS

APPENDIX 7 – CONFIDENTIALITY AGREEMENT

APPENDIX 8 – PRICELINES AND SUPPORTING DETAIL

APPENDIX 9 – ESCROW AGREEMENT